

EXHIBIT F

AMERICAN HUMANE ASSOCIATION

**D.G . vs Henry Consolidated Rebuttals of Expert Witness Reports by Peg McCartt
Hess, John Goad, and Viola Miller**

Prepared by:

John D. Fluke, Ph.D. and Donald J. Baumann, Ph.D.

June 9, 2011

Table of Contents

Introduction and Organization of the Report	1
Peg McCartt Hess, PhD, ACSW	2
Summary of the Report Content.....	2
Issues Related to the Methodology Employed	2
Issues Related to Dr. Hess' Conclusions.....	4
John Goad, AM.....	6
Content Summary of the Reports	6
Issues with the Methodology.....	6
Review of Nine Children.....	6
Sample Review	7
Issues related to Assumptions	11
Issues Regarding Findings	15
Findings Regarding Out of Home Care Investigations	16
Findings Regarding OCA investigations.....	17
Findings Regarding CPS Assessments	18
Findings Regarding Screen Outs.....	18
Findings Regarding Fatality Review	19
Concerns Related to Conclusions.....	20
Viola P. Miller, EdD.....	21
Summary of the Content.....	21
A Note on the Miller Deposition	22
Conclusions	22
References	23
Signature Pages.....	24

Appendices

Appendix A – Curriculum Vitas

Appendix B - Map of Illinois with Percent of Substantiated Maltreatment

Appendix C – Disclosure of Hours Worked

Introduction and Organization of the Report

The purpose of this report is to provide expert opinions in rebuttal regarding to five reports prepared by expert witnesses for the Plaintiffs. Those reports reviewed are:

Plaintiff's Expert Witness	Report Title	Date
Peg McCartt Hess, PhD, ACSW	<u>D.G. et al. v. Henry et al.</u> Review of Named Plaintiffs' Case Files	Sept 30, 2009
Peg McCartt Hess, PhD, ACSW	<u>D.G. et al. v. Henry et al.</u> Review of Named Plaintiffs' Case Files Supplemental Report	Feb 25, 2010
John Goad, AM	Oklahoma Department of Human Services: An Evaluation of the Effort to Assure the Safety of Nine Foster Children	Sept 10, 2009
John Goad, AM	Review of the Response by the Oklahoma Department of Human Services to the Suspected Abuse and Neglect of Children in its Care	March 15, 2011
Viola P. Miller, EdD	Review of the Oklahoma Department of Human Services' Child Welfare Practices from a Management Perspective	March 15, 2011

The order of the rebuttal in this Report will be the same order as the table above.

Our basis for reviewing these documents is to review, evaluate and then focus on the scientific support (or lack thereof) for opinions, findings, or conclusions made by the Plaintiffs' expert witnesses.

Peg McCartt Hess, PhD, ACSW

For Dr. Hess the two referenced reports from the table above were reviewed along with her deposition testimony in this case. These reports contained analysis of a case review of seven children (five in the original report and two in the supplementary report) who were identified to the author by Children's Rights. Apparently, these cases are named in the legal action developed by the Plaintiffs.

Summary of the Report Content

For each case reviewed Dr. Hess provides a "case summary" and a "casework analysis" (Hess Reports, pp. 1 and 1). The reports also include an executive summary of the case reviews. Each case summary consists of a set of findings from the case analysis containing issues with the placements drawn from the case analysis. Each case analysis contains details of the children's experience drawn from an instrument the author formulated to conduct the review.

Issues Related to the Methodology Employed

From scientific standpoint case reviews of the sort provided by Dr. Hess in these Reports fall into to the category of case studies. While they may be an appropriate source of hypothesis generation for subsequent studies, they are not considered valid scientific studies. The primary issue or problem with case studies is that they are subject to scientific criticisms regarding both internal and external validity (Campbell and Stanley, 1963). In this case "internal validity" refers to the inability to infer cause and effect, and "external validity" refers to the lack of generalization of the findings. One consequence of a lack of ability to generalize means that it not possible to know how the results of the study apply to population as whole.

Basically, in the context of Dr. Hess' analysis, what this means is that from the case studies Dr Hess performs in these Reports it was not possible to create any "treatment "conditions that the researcher could manipulate prospectively to achieve internal validity. In this instance it probably would have been impractical and unethical for Dr. Hess to introduce a "treatment" condition, for example, a report of

maltreatment, placement moves, or newly assigned workers. Nevertheless, “cause and effect” cannot be identified through Dr. Hess’ analysis or conclusions. Prospective observation refers to the observation of a child in this case starting from a point in time and on into the future. So, if an event happened at a particular time like a change of caseworker, multiple alternative explanations could be suggested that would have resulted in the same effect for the child in question that may have had nothing to do with the newly assigned worker. Scientifically speaking it is not possible to know if the effect would be repeated if the circumstances identified as possibly causative were repeated. Therefore, any conclusions that Dr. Hess draws concerning causation for the cases reviewed are not scientifically valid.

The Hess results also lack external validity, which refers to the ability of a sample to be generalized to other persons, places and over time. Among other reasons, the numbers of cases reviewed are too small and not representative of the population of children in care. As a result it is not possible to relate the experiences of seven individuals to the population of children in foster care in Oklahoma as a whole. This is especially the case when no basis for internal validity of the study is possible. As noted above, internal validity refers to the ability of a study to determine cause and effect. There are seven reasons why studies such as Dr. Hess’ can lack internal validity:

- History: Which refers to one time and long term events that can interfere with the study and affect the outcomes is not considered by Dr. Hess.
- Maturation: Refers to the passage of time that can alter results (e.g., as people grow older they change).
- Testing: The act of testing itself can affect the results of the study.
- Instrumentation: When the testing varies from one time to the next, one cannot determine whether the test or the intervention caused the outcome.
- Statistical Regression: The phenomenon that extreme scores move to the middle when calculated a second time.

- Selection Bias: This requires having comparable groups to start with. This is not considered by Dr. Hess.
- Attrition: This bias refers to having comparable groups at the end of the study (e.g., people or cases being dropped from the study for any reason). This could have affected Dr. Hess' study if cases were dropped from the sample.
- Ambiguity about Cause: Without proper controls it is not possible to determine what is a cause and what is an effect. In addition if other important variable are not considered, cause and effect is compromised. This affects Dr. Hess' study.
- Diffusion of Treatment: This refers to the impact of members of the control group receiving treatment (Stanley & Campbell, 1963).

As indicated above, three of the seven threats are likely to have affected the validity of the present Hess study. The internal validity is compromised by potential historical and causal events not recorded in the case record or not identified by the reviewer; selection bias, because the cases are not representative; possible attrition from cases that may have been excluded from the sample for one reason or another; and certainly ambiguity as described above about the certainty of cause and effect. Any conclusions drawn by the author, therefore, regarding the entire group of children in Oklahoma Department of Human Services are scientifically unreliable due to the lack of sufficient internal and external validity.

Issues Related to Dr. Hess' Conclusions

One of the major issues related to the Hess Report lack of internal validity (even in the absence of being able to control or manipulate "treatment") was the limited evaluation and presentation of the case studies' context in presenting the analysis. In other words, in providing information about casework, no effort was made to document why decisions were taken by workers or other OKDHS staff. For example, for one case (Hess Report, September, 2009, p. 106) in the casework analysis the author concludes that all deleterious events that occurred over a period of the 2,189 days the child was in care were a result of

the assigned caseworkers not reading the case record. This is stated by Dr. Hess as a conclusion, but it is actually a hypothesis since cause and effect cannot be established from the available information.

Furthermore, given that some of the cases reviewed were open at the time of the review, it may have been possible to interview the workers directly to determine why they made certain decisions and generate other data that could have supported both Dr. Hess' original hypothesis concerning reading case files as well as alternative hypotheses.

In suggesting that the circumstances that are described can in some way be generalized to the experiences of all children the Dr. Hess uses the term "systemic deficiencies" (Hess Report, September, 2009, p. 108) in the Report, however, this term remains undefined. Similarly, the author uses the phrases "indicate systemic deficiencies" in opposition to the idea of "establishing systemic deficiencies." It is not clear what distinguishes an "indicated deficiency" from and "established deficiency" (Hess Report, September, 2009, p. 108). There is an implication that indicated deficiencies are likely to be the cause of problems in the OKDHS system as a whole. This distinction between these terms (indicated vs. established deficiencies) gets at the issue of a lack of internal and external validity for this study and the use of this study to form hypothesis or suppositions about what are the causes of children experiencing problems in the OKDHS system. Ideally such hypotheses can lead to scientific tests, but without such tests we cannot determine the veracity of the Report's conclusions in the absence of valid evidence. All that can be said based on Dr. Hess' study is that some things that should not have happened did happen to a small number of children. The unfortunate- and potentially costly- consequence of a lack of validity in her methods is that any conclusions, likely as not, lead to erroneous conclusions regarding the reasons these problems occurred.

John Goad, AM

Mr. Goad's two Reports (referenced from the table above) were reviewed along with his deposition testimony in this case. The Reports contained a case review of nine children, and an analysis of data of data from a sample of out of home care investigations, Office of Client Advocacy (OCA) investigations, screen outs, CPS assessments, and fatalities in care.

Content Summary of the Reports

In the Report on the review of nine children the Mr. Goad reviewed Oklahoma DHS policy and case records concerning the nine children. He also reviewed records pertinent to screen outs, and out of home care investigations.

The second Report consists of a review of case records from OKDHS in 2009 regarding cases that were home care investigations, OCA investigations, screen outs, CPS assessments, and fatalities in care. For out of home care investigations 84 investigations were reviewed, for OCA investigations 41 were reviewed, and for screen outs 93 reports of maltreatment were reviewed. Mr. Goad claims that these samples were drawn at random from a population of these events that occurred in 2009. However, the actual method for sampling is not described in the Report nor was he able to describe the sampling method in his deposition (Goad Deposition, p. 108-116). All CPS assessments (17 in 2009) were reviewed, as well as, all fatalities. Mr Goad provides a case assessment instrument as part of the appendices in the Reports that was used to review the case record materials.

Issues with the Methodology

The following comments are concerns regarding the methodology employed in the two Reports prepared by Mr. Goad.

Review of Nine Children

The issues associated with Mr. Goad's Report on the nine children are the same as those that apply to the data reviewed by Dr. Hess. Mr. Goad's Report raises the same issues regarding internal and external

validity because of the nature of the data obtained and analyzed. Further, Mr. Goad assumes that although the sample is not scientifically valid, the findings would be valid if a scientifically designed evaluation was used. Again, rather than suggesting scientific merit, the statement by Mr. Goad suggests that the same types of internal and external validity biases indicated above in the Hess Reports are occurring again in the Goad Reports.

Sample Review

The first problem encountered with Mr Goad's design of the sample review is non-Independence of the sample. According to the Mr. Goad, "These referrals were unduplicated (i.e., "referrals alleging the maltreatment of multiple children involved in a single incident or set of circumstances resulting in a single screen out decision, investigation or assessment were combined), (Goad Report , March 2011, p. 11)." The issue associated with non-independence of samples is that some events may occur more often than others because they are attributed to all members of a group, such as a sibling group (Webster, Shlonsky, Shaw & Brookhart, 2005). In particular this may result in over or underestimates of characteristics (e.g., allegations of maltreatment) or events (e.g., children's substantiated maltreatment) because they are applied to all children in a group.

One of the consequences of the non-independence of the sample is described below in our discussion of the analysis of the percentage of allegations. Certain maltreatment allegations may have been counted multiple times because they were counted across a household with multiple children. For example, in a household with three children it is not uncommon to find that where one child in that household has an allegation of neglect all three children in the household have an allegation of neglect. On the other hand if physical maltreatment is identified for one child, it may not be as readily identified for all three children in the household. While there is not a perfect solution to this problem, one method for reducing the non-independence error of these enumerations is to select one child at random from all

children in the household as a basis for the number of allegations. Mr. Goad did not use this method or any other in the study to address non-independence.

Because Mr. Goad's study design is a cross-sectional sample (a sample drawn from a population at a specific point in time) rather than longitudinal (a design that includes multiple or continuous observations of a sample or population over time beginning at a common point in time), it is not possible to make any determination with respect to outcomes that may have occurred to children given the nature of the events that the Mr. Goad describes. For example, some possible child outcomes include subsequent reports or recurrence of maltreatment, well-being such as improved mental health functioning, educational attainment, and permanent placement. This is a flaw in the design since all that is provided are Mr. Goad's findings regarding compliance with policy or national standards. A longitudinal study could have revealed the differences, if any, in actual outcomes due to differences in how well OKDHS policy and standards were applied.

Another problem is found in the possible interpretation of the magnitude of the types of events that were presented by Mr. Goad. In the context of the Milner Report (see separate rebuttal report) the events that Mr. Goad describes may be erroneously viewed as being more frequent due to design flaws in Milner sample. In other words, since the data from the Milner exaggerates the frequency of these events in care, the events identified in this Reports may not be as common.

Further, because the reviewers in Mr. Goad's Report specifically examined these events because they were of a potentially serious nature they may have come to the reviews with some preconceived sense of the likely findings. This potential bias could have been avoided by conducting a blind review, where the case reviewers are not aware of the nature of the circumstances resulting in the selection of the samples and, for example, could have included investigations or screening events that were not tied to children in care as control cases.

The number of cases used to obtain inter-rater reliability is too small ($n = 6$). It's possible that these 6 cases could be extremely easy cases to obtain agreement about. If so, the inter-rater analysis would miss important problems in interoperating more ambiguous records or the situations that are described. Gwet, (2010) reports in the Handbook of Inter-Rater Reliability that there is considerable improvement when these numbers reach around 30.

There is no scientific basis that would indicate that failing to meet criteria set by Mr. Goad regarding timeliness of the investigations (Goad Report, March 2011, p. 20) is outside of reasonable expectations on implementation of policy. Mr. Goad states that meeting the criteria 91% of the time should not be considered a success in child welfare. He supports this with a reference to a medical model. A more scientific way to go about this would be to assess false positive and negative error rates in relation to actual outcomes of cases in the study and determine if meeting the standard made a difference or not.

Instrument

There was no effort described in Mr. Goad's Report to scientifically validate the review instrument so the only form of validity that can be assumed was face validity. Instrument validity refers to the capacity of the survey to accurately measure what it was intended to measure. Thus, Mr. Goad did not attempt to assess the following forms of instrument validity: criterion (concurrent or predictive), content, and construct. Criterion validity refers to the degree to which an instrument is correlated with other similar measures (concurrent) and whether it can predict an outcome it should predict (predictive). Content validity refers to whether the instrument covers a representative sample of the behavior the instrument intends to measure. Construct validity refers whether or not all of the forms of reliability and validity that are tested in total are believed to actually measure the construct they are intended to measure. In the absence of any tests of this nature we have no way of knowing whether or not Mr. Goad's instrument actually assessed what Mr. Goad claims it assessed. As a result any conclusions reached

through in Mr. Goad's Report regarding the use of the instrument cannot be regarded as meeting the requirements for scientific rigor.

The instrument provides very little guidance or information concerning how the reviewers made a determination that a report of maltreatment should be screened out (Goad Report , March 2011, p. 169). Much guidance is provided to the reviewers concerning insufficient information, but no guidance is provided to them about how to interpret the case information and reach a "yes" or "no" response (see instruction from instrument below, Goad Report , March 2011, p. 169).

Was the overall screening decision reasonable? Select "yes", "no", or "insufficient information" from the drop down menu. Do not select "insufficient information" simply because the worker receiving the referral made a screening decision with limited information. Select "insufficient information" only when the reviewer has made a screening decision without gathering information necessary to the screening decision *and* the information was likely to have been readily available (i.e., by asking the reporting source additional questions or by contacting collateral sources that are obviously and readily available and likely to be able to provide the necessary information.

Further, the instrument provides very little guidance or information regarding how the reviewers made a determination that **some credible evidence**, the Oklahoma DHS evidentiary standard for finding that there was maltreatment in care, was established during the investigation to substantiate the report of maltreatment (see instruction from instrument below, Goad Report , March 2011, p 172).

"Reasonable finding: Identify the reasonable finding from the choices in the drop down menu. Select Confirmed when the OKDHS established sufficient evidence to meet the "some credible

evidence” standard of evidence. Select “Insufficient information” if the investigation did not gather sufficient information to make a finding and additional investigative activities likely to provide sufficient information to make a finding were reasonably available to the OKDHS investigator.”

In the case of OCA investigations the applicable legal standard “greater weight of the evidence” is not included in the instruction. This raises the possibility for further confusion by the case reviewers.

There are several methods Mr. Goad could have applied to improve the method used to determine if his reviewers agreed with OKDHS staff regarding whether a report of maltreatment should have been screened in or out, or whether an investigation should have been substantiated. First and foremost, as identified above, the number of cases used for inter-rater agreement needed to be greater than 6.

Second, the instructions and instrumentation could have included the reviewer’s reasons for disagreeing with the OKDHS decisions. Third, a set of scenarios developed apart from other case information, could have been used as a basis for a validation study for that part of the instrument. Finally, a set of blind reviews of the actual decisions could have been conducted so that the reviewers were not aware of the OKDHS decisions in advance of providing their interpretation of the records. One advantage of blind reviews is that the consequences of decisions are not known to the reviewers. As a result the *bias of hindsight* is avoided.

Issues related to Assumptions

Mr. Goad bases many of his conclusions on the assumption that so long as OKDHS does not meet a “national standard” then the plaintiffs are harmed or have poor outcomes. There is very limited evidence of a scientific nature that standards developed by the Council on Accreditation (COA) and the Child Welfare League of America (CWLA) directly result in improved outcomes for children. From a scientific basis there is no certainty one way or the other regarding whether the use of these standards

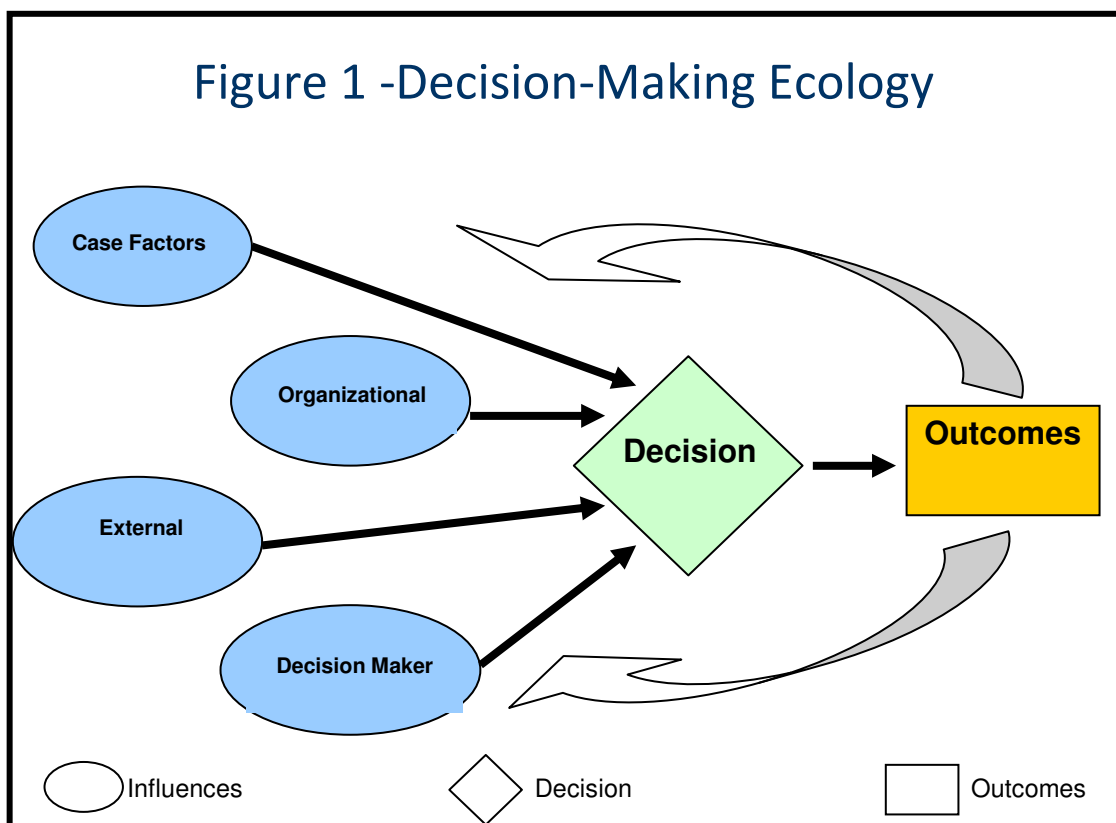
results in a child welfare agency to attain outcomes tied to improved safety, permanency, or well being.

This is not meant to invalidate the value of a concept regarding standards from a non-scientific perspective, merely that the scientific evidence is not available to demonstrate that adoption and implementation of COA or CWLA standards results in better child welfare outcomes.

In a related vein, there are no safety, permanency, or well being outcomes evaluated or otherwise used in the study. The degree to which decisions and actions are “correct” should be evaluated based on what the actual consequences of the decisions are with respect to a child. For example, one way to determine if a correct decision was made to screen out a referral would be to determine if there were re-referrals in that case, or re-referrals that resulted in investigations that were substantiated.

Mr. Goad assumes that CPS decision making related to “accepting reports, making investigative determinations, and closing abusive/neglectful foster homes” (Goad Report , March 2011, p. 7) is or can be made precise through the use of prescriptive and detailed OKDHS criteria and procedures. Some procedures (i.e. risk and safety assessments) have shown some capacity to improve decision making in child protection and child welfare. However, there is a great deal of imprecision in these decisions which appears to be related to the features that are endemic to the child protection environment of decision making under uncertainty (Swets, 1992).

A more productive way to understand decisions is to know the context in which decisions are made as



well as something about the psychological process of decision-making. This is described by framework of the Decision Making Ecology/General Assessment and Decision Making model (DME/GADM). “Figure 1, displays the systemic context for decision-making that includes a set of influences displayed as ovals. These cover the range of case, external, organizational, and decision maker factors that combine in various ways to influence decisions and outcomes. These influences can be divided into dimensions that represent their important features, and decisions can be understood as a part of this entire context.

For example, case information regarding an incident of maltreatment is necessary for a caseworker to make informed assessments and decisions, yet some of the assessments and decisions depend on external factors, such as law translated into policies that govern what constitutes an appropriate response. Furthermore, the translation of such standards by organizational management, and their use by staff, will vary as a function of individual decision maker factors which include knowledge and skill, as

well as the actual and perceived costs and benefits (*outcomes*) of the decision to the decision maker, the client and/or the agency. The literature indicates that there is a great deal of variability in the thresholds for these decisions and that they are a function of far more than policy and procedures (Baumann, Dalgleish, Fluke & Kern, 2011, p. 5).“

As a simple illustration, consider the variability in the percentages of children who are substantiated among those investigated in a state like Illinois. As a state administered system with uniform and detailed policies regarding the decision to substantiate cases, and if Mr. Goad’s assumption is correct, one might expect that in Illinois (and in the presence of detailed policies and procedures) the percentages of substantiated cases would be similar from county to county even taking into account things like higher risk due to poverty in some areas. However, according to the State of Illinois’ report for SFY 2008 the percentages of indicated¹ reports varies at the county level from as few as 9.8% to as many as 39.7% of children who were investigated in 2008 (see map of Illinois, Appendix B). This compares to a statewide percentage of 25% indicated. Of course, there are many possible explanations for the wide range of variability in these percentages including, but not limited to, the possibility that policies and guidance are not sufficiently detailed to insure consistency throughout the state.

In making a determination of substantiation in foster care maltreatment investigations, or in general for all investigations, there is no “gold standard” with respect to the the meaning of “credible evidence” or any other legal standard. In fact, aside from highly stringent standards such as “beyond a reasonable doubt” there is limited consensus in the legal literature regarding these terms and their meaning (Fluke, et al, 2001). Some authors (Drake, 1996) assert that the distinction between substantiated and unsubstantiated is not meaningful from a child welfare perspective, but instead reflects an assessment along dimensions of risk and harm rather than being an indication that harm has occurred. Furthermore,

¹ In Illinois the definition of an indicated allegation of maltreatment is one that meets a standard of credible evidence (Illinois DCFS R 336, 431).

while there is evidence to support the risk and harm dimensions, the identification of risk and harm is itself subject to error (Cross & Casanueva, 2009).

From the DME/GADM discussion above (Baumann, et al., 2011) and the results of various studies regarding the uncertainty of the decision to substantiate a report of maltreatment, or screen in reports, variability is the rule rather than the exception. Among these studies there is evidence of significant variability between workers and also between supervisory units as well as States, counties, and offices.

Issues Regarding Findings

For this part of the rebuttal the information is organized around general concerns regarding the Report's findings and more specific concerns for each type of decision.

Generally, the confidence intervals² are large and this lack of precision could have the consequence of exaggerating negative findings. For example, if 9% of the time investigations were regarded as not timely and the confidence interval around that 9% was plus or minus 10%, we might be led to infer that possibly as much as 19% of the time these investigations might not have been timely, or twice as large as the point estimate or 9%.

In general Mr. Goad does not provide any context regarding practices they view as inappropriate or contrary to OKDHS policy. For example, for the six instances cited by Mr. Goad on (Goad Report, March 2011, p. 86) where background checks were not conducted there might there be legitimate reasons a background check could not be conducted. For example, situations where no information was provided that would allow the screener to identify the alleged perpetrator.

As a further illustration and example of a lack of contextualization by Mr. Goad, equating investigations with a finding of "unsubstantiated with services recommended" as "substantiated maltreatment" can't be supported from the information presented in the analysis. Some service needs may have nothing to

² the range of error associated with the sample, generally set at 90%, interpreted as a degree of confidence that the actual population estimate falls within the range.

do with safety of the child, but pertain to the child's well being. Examples such as services for a newly identified disability, financial counseling services for the foster parents, a need for educational services such as an Individual Education Plan (IEP), and so forth are not directly related to maltreatment in care. In the absence of contextual information regarding the nature of the services or the reasons for recommendation it is not possible to conclude that maltreatment or child safety is driving the designation of a finding of "unsubstantiated services recommended."

Findings Regarding Out of Home Care Investigations

There are other explanations besides the one offered by Mr. Goad in his Reprot that would account for the fact that most referrals are made by CPS Caseworkers. "Caseworkers are presumably well informed about what constitutes child abuse and neglect and should have reliable information about the situations of the children in their caseloads (Goad Report, March 2011, p 17)." Further, Mr. Goad does not break out whether caseworker reports are more or less likely to be substantiated against either OKDHS or his own criteria.

The percentages for the type of maltreatments alleged are based on a count of all allegations not investigations. The choice of a denominator is important for these percentages since it orients the interpretation of the distribution of the types of allegations experienced. In this instance Mr. Goad decided to use the total number of allegations as the denominator even though a given investigation can involve multiple allegations, or what is called a multiple response item. For example, if for a study of foods on hand in a household you might have a range of groceries bought at the store. Using the number of items bought as the denominator doesn't inform you about what percentage of households has milk. To illustrate what this problem means in Mr. Goad's study "risk of harm" (a type of allegation found in OKDHS policy) applies to 17% of the allegations (Goad Report , March 2011, p 18), but if investigations are used as a denominator in the percent calculation it applies to 57% of the investigations. Unfortunately, this is still not accurate because Mr. Goad has not provided a unique

count of “risk of harm” for each applicable investigation since the counts may apply to more than one child in the household. This leads to difficulties in interpretation regarding the severity of the potential harm. For example, could we assume that in combination with a neglect allegation that this would mean that there was an allegation of threat of harm from neglect, rather than an allegation of neglect? It is not possible to tell from the information provided. Finally, Mr. Goad’s instrument calls for all allegations for all children in an investigation to be counted, thus the non-independence problem described above with respect to multiple children in the household may mean that some allegation types associated with the reports of maltreatment were counted more frequently than would be the case otherwise.

How allegations were investigated may have also been an issue with respect to whether a physical examination of children’s bodies was required (Goad Report , March 2011, p. 50) in as much as an allegation of physical abuse may have been with respect to a “threat of harm”, suggesting the possibility that if no actual harm occurred a physical examination was not needed. From the Report and depositions this cannot be determined.

While identifying allegations for children who Mr. Goad believes were harmed (Goad Report , March 2011 , p. 37), no information is provided about what maltreatment the children might have experienced. Only speculation is offered regarding the possible maltreatment that might have actually occurred making it more difficult to understand the basis for Mr. Goad’s conclusions regarding his reviewer’s ability to agree with the OKDHS substantiation decisions.

Findings Regarding OCA investigations

With respect to Mr. Goad’s observation that facility staff are more likely to report maltreatment compared to case workers, this may reflect the amount of time that is actually available for observation of the child, rather than an awareness of what constitutes maltreatment as Goad asserts. A difference that is likely to be considerable in this instance.

As before with CPS investigations, the percentage breakdown of alleged maltreatment is based on the number of allegations rather than investigations. For example, instead of 44.6% of allegations involving lack of supervision, 90% of investigations involved allegations of lack of supervision. Even though it cannot be unequivocally determined from the data in Goad's Report, the story here is that the major concern being identified is a lack of supervision as all but a few of the investigations involve some other maltreatment allegation that is not in combination with lack of supervision.

There were too few children (11 children) among those that "required" a physical check to estimate to the population. There were too few children (2 children) among those that were unsubstantiated who the reviewers disagreed with to estimate to the population. The point and confidence interval estimates are cannot be known for these data.

Findings Regarding CPS Assessments

Similar to our critique of the Mr. Goad's analysis of out of home care and OCA investigations, the percentage breakdown of alleged maltreatment is based on the number of allegations rather than investigations. For example, instead of 19 percent of allegation involving lack of supervision and threat of harm, up to 47 percent of investigations could have involved allegations of lack of supervision or threat of harm (or both) (Goad Report , March 2011, p. 66).

The basis the reviewer used to determine that safety threats were of sufficient concern to warrant an investigation vs. assessment are not described in the Report (Goad Report , March 2011, p. 67), nor could the criteria used by the reviewer be identified from the instrument. Consequently it is not possible to determine the basis for these conclusions.

Findings Regarding Screen Outs

The decline in screened in referrals is taken to imply that CPS services are being denied (Goad Report , March 2011, p 82). This could have been alternatively interpreted as meaning that OKDHS has chosen to be less intrusive in family life. As an example, an actual scientifically based criteria that could have been

used would be to determine if there was an impact on re-reporting and recurrence among the cases screened out, otherwise nothing can be inferred positive or negative about the trend identified in Mr. Goad's Report.

As pointed out above there may be other factors that influence caseworkers to report including concerns about compliance with regulations (Goad Report , March 2011, p. 84). Thus, concluding that caseworker reports reflect more accurate allegations is not the only possible conclusion for why caseworkers are the most common source of report.

Findings Regarding Fatality Review

Simply put, the analysis provided by Mr. Goad is not amenable to scientifically based conclusions nor does it even provide a predicate for rebuttal.

Child fatality cases differ in many ways from non-fatality cases, not the least of which is the fact that they contain more thorough "after the fact" information. As a result, they are not comparable to other cases. The proper design here is prospective (Graham, Septura, Baumann and Kern, 2010), where the case preceding the fatality is read along with a sample of non-fatality cases without knowing the outcome. This not only allows meaningful comparisons to the general CPS population of cases, but the assessments and predictions do not have the advantage of hindsight. Moreover, they are based the information available to the caseworker before the fatality occurs.

It should be noted that the above concerns can also be applied to Mr. Goad's method of case reading as a whole. When the reader knows the outcome of the case it is quite easy for the reader to conclude (verify) what the reader already wants to conclude. This confirmatory bias is well documented across a wide variety of situations (Friedrich, 1993; Nickerson, 1998; and see Wason, 1960 for an original example). In other words if an individual is told to look for problems in a set of cases they will find the problems they expect to find. Furthermore, if the outcomes of the case they are reading are known and

presumed to be negative, the reader will find the faults they expect to find. If, on the other hand, they only had the information available to the caseworker who made the decisions at the time and not the results of those decisions, this bias is much reduced. Furthermore, the assessments of the decisions can be tested for validity against subsequent outcomes.

Concerns Related to Conclusions

The validity of the instrument used in reading the cases was not established. As a result, any conclusions drawn from the use of Mr. Goad's instrument cannot be considered valid. It would be akin to creating an intelligence test using items devised on your own, not testing it for validity, and giving someone a score on that test indicating that they are below average in intelligence. The results of such an intelligence test are unlikely to be viewed as credible. Mr. Goad's instrument suffers from the same lack of validation.

The overall choices made in the analysis of the data lead the reviewers to findings in favor of a greater level of errors on the part of OKDHS than might be identified by a more independent analysis, especially one where the reader is blind to subsequent outcomes (Schulz & Grimes, 2002). This is also illustrated by the selection of certain criteria for the decisions reviewed. The most obvious example is the classification of unsubstantiated with service recommendations together with substantiated investigations. Another obvious example is the use of allegation percentages using the allegations as the denominator rather than investigations. Mr. Goad offers no alternative explanations, and provides no context for the decisions that are described by the data. The reliance on compliance with standards rather than actual outcomes reflects a regulatory position that does not necessarily take context into an account of what actually happens to children. Finally, Mr. Goad provides no alternative hypotheses other than those that are likely to be viewed as leading to poor outcomes, whereas, other more positive outcomes, are also possible and feasible. For example, the increase in the number of screened out reports which as an alternative hypothesis might lead to less unnecessary intrusion in the lives of

families, without necessarily increasing safety concerns. The hypotheses (positive or negative) in turn could be measured by outcome indicators such as re-reporting or recurrence. These examples taken together speak to a systematic bias regarding OKDHS in the preparation of the report.

Given the lack of cited scientific evidence for his opinion, another major difficulty is the assumption that the standards identified by Mr. Goad (i.e., CWLA and COA) that were not being achieved would result in poor outcomes. Thus, conclusions regarding harm to children are not supported. The consequence of this perspective is that any resulting remedies based on these conclusions would not demonstrably improve outcomes for OKDHS children. In the other words, identification of the wrong causes, leads to solutions that can't fix anything.

Viola P. Miller, EdD

For Dr. Miller one referenced report from the table above was reviewed along with a deposition. Dr. Miller's Report contained a management review based on department policies and depositions of OKDHS staff. Dr. Miller's Report also makes extensive references to the reports of case review samples developed by the plaintiff's expert witnesses, Jerry Milner and John Goad in support of her positions.

Summary of the Content

Dr. Miller's Report focuses on OKDHS management and reviews several organizational features including: organizational structures, methods of accountability, workforce capacity, and placement resource needs. These features are reviewed through the examination of administrative documents and depositions of staff.

In addition Dr. Miller reviews other aspects of the child welfare system largely based on analyses of review data from the Reports by Goad and Milner as well as depositional materials from OKDHS staff. In particular she comments on the experiences of children in care, and the use of shelter care.

A Note on the Miller Deposition

Page 45 of Dr. Miller's deposition begins a set of questions regarding Wulczyn and describes the concept of cohorts and the problems with point in time samples. This is important because either Dr. Miller ignores the fact that the Milner Report is based on a point in time sample, or she does not regard the sample design as relevant in using its data as a basis for her some of her conclusions. This is a contradictory perspective.

Conclusions

It would not be possible to comment or to offer opinions on the scientific merits of the administrative management aspects of the Report conducted by Miller, since this is not a particular area of expertise. At this time scientific evidence that would support particular approaches to the management of child welfare agencies are limited and focus mainly on the implementation of evidence based practices and programs (c.f. Fixsen, et al., 2005).

Dr. Miller's major reliance on the results of the Goad and Milner Reports is potentially problematic with respect to her conclusions. This is due to flaws, regarding the interpretation and validity of the review research design employed by Dr. Milner and Mr. Goad. Any conclusions based on analysis from these Reports depend on their validity. The over-representation of children with longer times in care, in particular with respect to Milner, over estimates the likelihood of poor outcomes compared to the full range of children who experience care in the OKDHS system and reliance these reports undermines here conclusions and opinions.

References

- Campbell, D. & Stanley, J. (1963). *Experimental and quasi-experimental designs for research*. Chicago, IL: Rand-McNally.
- Baumann, D.J., Dalglish, L., Fluke, J., & Kern, H.(2011).*The decision-making ecology*. Washington, DC: American Humane Association.
- Cross, T. P., & Casanueva, C. (2009). Caseworker Judgments and Substantiation. *Child Maltreatment*, 14(1),
- Drake, B. (1996). Unraveling unsubstantiated. *Child Maltreatment*, 1(5), 261-271.
- Fixsen, D.L., Naoom, S.F., Blase, K.A., Friedman, R.A., Wallace, F. (2005). Implementation research: a synthesis of the literature. Tampa, FL: University of South Florida, Louis de la Parte Florida Mental Health Institute, The National Implementation Research Network (FMHI Publication #231).
- Fluke, J., Parry, C., Shapiro P., Hollinshead, D., Bollenbacher V., Baumann, D., Davis-Brown, K. (2001). The Dynamics of Unsubstantiated Reports: A Multi-State Study. Englewood, CO: The American Humane Association.
- Friedrich, J (1993). Primary error detection and minimization (PEDMIN) strategies in social cognition: A reinterpretation of confirmation bias phenomena. *Psychological Review*, Vol 100(2), Apr 1993, 298-319.
- Gwet, K. L. (2010). *Hand book of Inter-Rater Reliability* (2nd Edition). Advanced Analytics. Gaithersburg, MD.
- Illinois Department of Children and Family Services. (2008). Child Abuse and Neglect Statistics Fiscal Year 2008. Springfield, IL: Illinois Department of Children and Family Services.
- Nickerson, R. S. (1998). Confirmation bias: A ubiquitous phenomenon in many guises. *Review of General Psychology*, 22, 175–220.
- Schulz KF, Grimes DA. Blinding in randomised trials: hiding who got what. *Lancet* 2002;359:696-700
- Swets, J. A. (1992). The science of choosing the right decision: Thresholds in high stakes diagnostics. *American Psychologist*, 47(4), 522-532.
- Wason, P.C. (1960). On the failure to eliminate hypotheses in a conceptual task. *Quarterly Journal of Experimental Psychology*, 12, 120-140.

Signature Pages

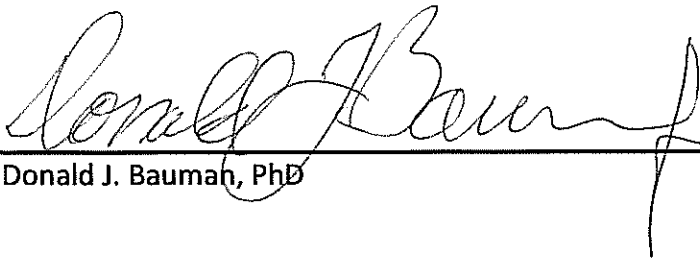
The authors of this rebuttal report reserve the right to use as an exhibit at trial any of the charts, graphs, tables or diagrams contained in our report, as well as any item in our considered materials.

During the previous four years neither John D. Fluke, Ph.D., nor Donald J. Baumann, Ph.D. have testified as an expert at trial or by deposition.

A handwritten signature in black ink, appearing to read 'John D. Fluke', is written over a horizontal line. To the right of the signature, the date '6-9-11' is handwritten.

John D. Fluke, Ph.D.

June 9, 2011

A handwritten signature in black ink, appearing to read "Donald J. Bauman", is written over a solid horizontal line. The signature is fluid and cursive, with a long, sweeping tail that extends to the right.

Donald J. Bauman, PhD

Appendix A

Curriculum Vitas

John D. Fluke, Ph.D.

Donald P. Baumann, Ph.D.

John D. Fluke, Ph.D.
Page 1 of 26

JOHN D. FLUKE, Ph.D.
CURRICULUM VITAE

EDUCATION:

Ph.D., Organizational Decision Science, Union Graduate School, Cincinnati, Ohio, 1995.

Periodic Graduate course work in Economics (Econometrics), Statistics and Mathematics at the University of Colorado in Boulder and Denver, 1981-1990.

M.A., Anthropology, Pennsylvania State University, University Park, Pennsylvania, 1980.

B.A., Summa Cum Laude, Individualized Tutorial Program (ITP), Emphasis in Mathematical Anthropology, University of Northern Colorado, Greeley, Colorado, 1976.

EXPERIENCE:

Child Protective Services Research Center, American Humane Association, Englewood, CO,
(2007 to Present): Vice President and Founding Director

Dr Fluke rejoined American Humane as the center's founder and director. Established with private funding, the purpose of the research center is to address long-standing issues related to the improvement of public child protective services. Research focuses on fundamental issues in child protective services and the development of evidence-based policy and practices to effectively address them. Among others, the initial areas of focus is to include assessment and decision-making processes in child welfare cases, examination of the system's racial disproportionality, improved ways to scale up the implementation of evidence-based intervention and treatment practices at agencies and community service providers, and the further development of a global network of child abuse and neglect data-collection systems and professionals. The Center supports the global network of professionals who form the International Society for the Prevention of Child Abuse and Neglect Working Group on National Child Maltreatment Data Collection Programs for which Dr. Fluke is the co-chair and a network founder.

Key projects are listed below:

- **Chapin Hall, Foster Care Redesign for the Texas Department of Family and Protective Services (2010-2011):** The Texas Department of Family and Protective Services is in the process of developing a modified financial system for reimbursing providers of out of home services in order to leverage funds to improve services aimed at creating settings that meet children's needs and that shorten their time in care to planned exits without comprising safety or well being. Under sub-contract to Chapin Hall, Dr. Fluke is a project consultant to TDFPS.
- **Center for the Study of Social Policy Alliance for Racial Equity in Child Welfare – Research Literature Review on Disproportionality and Disparities (2010)**
This project calls for a compilation and analysis of research related to racial and ethnic disproportionality and disparities in child welfare, primarily beginning with research

John D. Fluke, Ph.D.

Page 2 of 26

published since Bob Hill's *Research Synthesis in Child Welfare: An Update* (October 2006). The analysis will also compare studies to previously conducted research syntheses by Bob Hill on the topic, as well as any earlier studies that may not have been included in previous papers. Dr Fluke was the Principal investigator.

- **UNICEF, Cross-National Child Disciplinary Practices: An Analysis of the Multiple Indicator Cluster Survey (MICS) of Households(2009):** Child discipline - deliberate actions on the part of parents designed to teach self-control and acceptable behavior on the part of children – has broad implications for child well-being. In particular, harsh discipline in the form of corporal punishment (not including physical abuse) is associated with adult mental health problems, delinquency, and adult criminal behavior. A clearer understanding of disciplinary practices on a global basis has implications for the development of effective prevention strategies. This study utilized the Multiple Indicator Cluster Survey (MICS3), a representative cross-sectional household survey conducted by UNICEF and its partners, and similar data from the Demographic and Health Surveys (DHS) in over 35 countries. Dr Fluke was the Principal investigator.
- **Kingdom of Saudi Arabia National Family Safety Program — Program Report Data Project: (2010)** The purpose of this project was to review and help expand the analytic capacity of the child maltreatment administrative data system under development by the National Family Safety Program (NFSP) in the Kingdom of Saudi Arabia (KSA). The scope of work was carried out by team members of the Child Protection Research Center, through a subcontract to the International Society for the Prevention of Child Abuse and Neglect (ISPCAN).

Walter R. McDonald & Associates, Inc., Centennial, CO

(2003 to 2007): Vice President for Research:

As a participant with the management of the company the primary responsibilities were to oversee the research and evaluation functions and services of the organization. This position involved oversight for the company's research projects and senior research staff, client relations, and participation in strategic planning and implementation.

Walter R. McDonald & Associates, Inc., Aurora, CO

(1999-2003): Director of Research:

These responsibilities emphasized research design and implementation, capturing and analysis of data, and reporting of findings directed toward enhancing the mission of the company. These were achieved through the developing and communicating useful information to clients, provision of direction and support to the research division, linkage of research and evaluation to communications, marketing, and organizational learning.

Key projects are listed below:

- **Center for Mental Health Services (CMHS), Substance Abuse and Mental Health Services Administration (SAMHSA), Comprehensive Community Mental Health Services for Children and Their Families Program, Phase V (2005 – 2007):** This 5 year national evaluation involving 25 sites was intended to describe the children and families served, including behavioral, emotional, and functional characteristics; determine how children and their families change over time; document the services delivered and the effects and costs of these services; evaluate how systems of care develop over time; investigate the relationship between system change and child and family outcomes; document cultural and linguistic competence; examine the nature and effects of family-driven and youth-guided care; evaluate the effectiveness of factors influencing the implementation of systems of care and evidence-based practices within systems of care; develop evaluation capacity and quality monitoring in system of care communities; and identify factors influencing the sustainability of these programs. Dr. Fluke was the Principal Investigator for the project.
- **Washington State DSHS Children's Administration, Washington State Workload Study (2006-2007):** A study to develop recommendations for workload standards for Child Welfare services. The study entailed collection of workload data from over 2,000 staff and the development of cost benefit information to support the implementation of a State Wide Automated Child Welfare Information System. Dr. Fluke was the strategic advisor for the project.
- **New York State Office of Children and Family Services, Study of Child Welfare Workload (2006):** This study concerned the development of workload requirements for child protective services, foster care, adoption, and preventive services in the State of New York, including both the public and private voluntary sectors. The study addressed the services and tasks conducted by case workers in their case management and case planning functions. Dr. Fluke was the Analytic Consultant for this project.
- **American Bar Association (ABA), Division of Children and the Law, Judicial Dependency Workloads (2005-2006):** WRMA is assisting the ABA in piloting a methodology to measure judicial workloads as related to best practice. The process involves collecting time log data from judges; supplemental data from trained court observers; Delphi Group data on time estimates; and judicial automated systems data. Dr. Fluke researched the development of best practice based workload standards for judges and for estimating workload requirements. Dr. Fluke helped design the study and provided consultation and analytic support for this project.
- **ORC Macro, Subcontract for the Cross Site Evaluation of the National Child Traumatic Stress Initiative of the Substance Abuse and Mental Health Services Administration, Department of Health and Human Services (2004 – present):** This 5 year project entails the design and implementation of a national cross site evaluation for the National Child Traumatic Stress Initiative, a network of over 50 sites that provides direct and indirect services aimed at supporting the development of trauma informed

John D. Fluke, Ph.D.

Page 4 of 26

services. WRMA is a subcontractor to ORC Macro, and Dr. Fluke was the corporate officer and is the co-leader of the evaluation design team.

- **Children's Bureau, Administration for Children Youth and Families, U.S. Health and Human Services, Fourth National Incidence Study of Child Abuse and Neglect (2004–present):** Walter R. McDonald & Associates, Inc., is a subcontractor to WESTAT on this project which entails developing and implementing a complex sentinel sampling design to measure child maltreatment incidence. Dr. Fluke is a member of the team involved with aspects of the research design and is a member of the technical advisory group for the project.
- **The Development of a Statewide Approach to the Assessment of Child Safety, Family Strengths and Caregiver Protective Capacity, California Department of Social Services (2003):** Under sub-contract to Patricia Schene and Associates, Dr. Fluke assisted the State in developing a uniform approach to child and family assessments for the State. The assessments address critical aspects of the Child Protective Services re-design effort, including a new system of diversified response.
- **Office of the Assistant Secretary for Planning and Evaluation, Department of Health and Human Services, Secondary Analysis of Data from the National Child Abuse and Neglect Data System (2003–present):** A data analysis project to examine three topics of policy concern to related to the identification and amelioration of child maltreatment. The topics are male perpetrators, alternative response, and a longitudinal analysis. Dr. Fluke is the Principle Investigator for the project.
- **Performance And Outcome Reporting System, Department of Public Social Services, County of Riverside California (2002 -):** Dr Fluke was the principle investigator on this project to develop a performance and outcome reporting system, and is currently the corporate officer. The project is directed at developing a measurement system for services provided by Community Based Agencies under the auspices of the Child Abuse Prevention, Intervention, and Treatment (CAPIT) program and the Promoting Safe and Stable Families (PSSF) program.
- **Aurora Community Mental Health Center, Evaluation of the Aurora Mental Health Center's Grant to Operate a National Child Traumatic Stress Initiative Community Treatment and Service Center (NSCTI-CTS) (2002 – present):** Dr. Fluke has operated as consultant to the Center in developing is approach to evaluation and provides evaluation technical assistance to staff who are planning and running programs under the auspices of the grant.
- **Foster Care Re-Entry Study, Division of Child Welfare Services, Colorado Department of Human Services (2001- 2002):** An analysis of administrative data to address children who re-enter foster care within twelve months of reunification to identify patterns in demographic and service activities that might explain re-entry and impact the

John D. Fluke, Ph.D.

Page 5 of 26

Adoption and Safe Family Act reunification standards. Project Director responsible for all aspects of this study.

- **F2F/Internet Training for Data-Based ASFA/MEPA Decision Making, School of Social Work, University of Texas at Arlington (2000 – 2003).** A three year grant through the Children's Bureau, Administration of Children Youth and Families to develop and test a training curriculum on the Adoption and Safe Families Act performance measures for the Texas Department of Protective and Regulatory Services. The project entails the development of an internet based training and the use of On Line Analytic Processing methods as a basis for the data used in the training. Dr. Fluke directs the WRMA subcontract.
- **Texas Department of Protective and Regulatory Services, Texas Title IV-E Adoption Assessment Waiver Demonstration Project Cost-Effectiveness Analysis Project, (2001–2003):** This project was to assess the cost-effectiveness of its title IV–E waiver on adoptions. The project linked with the overall evaluation of the project and utilized performance measures and cost data that were derived, as well as administrative data resources. Dr. Fluke was the project director responsible for all aspects of the study and developed an administrative-level computer simulation model to support administrative assessment of program efficacy and in forecasting the impacts of changes in services due to the introduction of new policy. This was one aspect of an on-going multi-year research project of the Department, funded in part by a research grant from the HHS Children's Bureau.
- **National Study of Child Protective Services Systems and Reform Effort, Office of the Assistant Secretary for Planning and Evaluation, Department of Health and Human Services (2000-2003):** The goal of this study was to provide a comprehensive description of child protective services (CPS) systems nationwide and to examine in depth some of the recent innovative reform efforts that are underway. Team leader for the data analysis and reporting component.
- **Evaluation Infrastructure Development, Orange County Children's Commission (2000- 2001):** The project called for the development of common protocols for evaluation to be employed by evaluators of programs funded by the Orange County Children's Commission. Project Director responsible for all aspects of the study.
- **Louis de la Parte Florida Mental Health Institute, Department of Children and Family Studies, University of South Florida, Technical Assistance in Developing Child Welfare Performance Measurement Reporting (2000-2001).** The purpose of this project was to the assist the institute in its work the Florida Department of Children and Families to analyze the State's administrative data and prepare an annual report regarding the performance of its foster care system and overall performance of its child welfare program. The role was to act as a project advisor and technical assistance consultant.

John D. Fluke, Ph.D.

Page 6 of 26

- **Benefits Workload Study, San Mateo County Human Services Administration (2000-2001):** A project to assist the county obtain and analyze workload data for purposes of workload standard setting, budgeting and workload allocation for CalWORKs/TANF, Medicaid, Food Stamps and other benefits programs. Project Director responsible for all aspects of the study.
- **Senate Bill 2030 Workload Study, California Department of Social Services (1999-2000):** A twelve month statewide project to assist the state obtain and analyze workload data for purposes of workload standard setting, budgeting and workload allocation in the area of child welfare services. Project Principle Investigator responsible for all aspects of the study including staffing, study design, data analysis and reports.
- **Technical Assistance for the National Child Abuse and Neglect Data System, Children's Bureau, Administration for Children Youth and Families, US Health and Human Services (1991-):** Walter R. McDonald & Associates, Inc., assists the HHS Children's Bureau develop, collect and analyze national data on child abuse and neglect reports including aggregate reporting data from between 48 and 50 states each year and state submitted case level data. Dr. Fluke is the data analysis team leader.

The American Humane Association, Children's Division, Englewood, CO,
(1979-1999):

Director of Program Analysis and Research: Senior position involved primary responsibility for the analytic consultation, research, and evaluation performed by the division. Supervision of the agency's research staff consisting of eight research professionals. The work focused on general project design and implementation related to public child protective services and community-based program evaluation for state social service agencies across the country, for the Federal Government and other agencies providing children's services. Dr. Fluke directed or contributed to numerous research and program evaluation projects and provided consultation to many states and to the federal government in the areas of children's services decision making, administrative data analysis, workload and resource management, and automated child welfare information systems.

Key projects are listed below:

PROGRAMMATIC EXPERIENCE

- **Idaho Risk Assessment Project (1997-2000):** A three year project to assist the Idaho Department of Family and Children Services develop an approach to risk and safety assessment. The project entails the development of a risk assessment and safety assessment protocol, instrument, training, and evaluation. Dr. Fluke was one of the project co-directors.
- **Iowa Outcome Measures Project (1997-1999):** A project to design an outcome measures data collection system for the Iowa Department of Adult, Family, and Children Services. The project will address the definition of outcome domains and indicators for Iowa as a whole,

John D. Fluke, Ph.D.

Page 7 of 26

the development of community outcomes for a selected range of sites, and the development of a system for results based budgeting. Dr. Fluke was one of the project co-directors.

- **Casey Managed Care Initiative (1997-2000):** This initiative was developed by Annie E. Casey Foundation and Casey Family Services to assist children's services agencies address the issues associated with the proliferation of managed care approaches in the field. During the first eighteen months the project objectives are to develop a principles document, an outcome measures framework and model set of decision making protocols. The American Humane Association is the lead agency in a consortium of national organizations including the Institute for Human Services Management and the American Bar Association. Dr. Fluke was the project director.
- **Innovative Programs with Child Protection Linkages (1995-1997):** As a part of the Clark Foundation Child Welfare Reform Initiative this project includes an in-depth on-site study of two innovative programs: the PATCH model in Cedar Rapids Iowa, and Family Group Decision Making implemented in Oregon. The study entails a systematic analysis of the programs, policies, staffing and operations. It also includes an ethnographic analysis of four families at each site. Dr. Fluke was the director of the evaluation component of the project.
- **Philadelphia Outcome Measures Project (1996-2000):** This three year project entails implementing an outcome measures data collection system for the City of Philadelphia's Children and Youth Division. Included in the development process are measures of in-home services, short term placement services, and long term placement services. Dr. Fluke was one of the project co-directors.
- **Illinois Child Endangerment Protocol (1994-2000):** A project to assist the state of Illinois to develop a Child Endangerment Protocol for the Department of Children and Family Services, including developing instrumentation for assessing safety, curriculum for child safety, development of a process for certifying worker competence in regard to risk and safety and evaluation of the reliability and validity of the protocol. Dr. Fluke was the project director.
- **Texas Screening, Permanency and Decision Making Study (1993-2000):** An on-going multi-year research project of the Texas Department of Protective and Regulatory services funded in part by a research grant from the HHS Children's Bureau. The goal of the project is to develop decision making tools for use by workers and supervisors in reaching decisions about screening reports of child maltreatment, providing services, making placements, and closing cases. Dr. Fluke has been an active member of the study advisory committee and a member of the research team. Under the auspices of this project Dr. Fluke developed the Children's Services Simulation Model (CSSM) an interactive mathematical model designed to assist program management in forecasting the impacts of changes in services due to the introduction of new policy.

John D. Fluke, Ph.D.

Page 8 of 26

- **Evaluation of the Pennsylvania Approach to Child Protective Service Risk Assessment: (1991-1993):** AHA under contract to Erie County Office of the Children, Youth, and Families and the Pennsylvania Office of Children, Youth, and Families conducted several related sub-studies including ascertaining the effects of risk assessment implementation on selected aggregate system variables; determining the psychometric properties of three risk assessment models and of the 18 core factors; designed a study and implemented the examination of predictive validity; and determined the impact of risk assessment implementation on worker and agency operations. Dr. Fluke was the project director.
- **The National Resource Center on Child Abuse and Neglect (1991-1996):** The National Resource Center on Child Abuse and Neglect (NRCCAN) is operated by the American Humane Association as the United States government's center for resources and services to improve the capacity of public and private agencies to respond effectively to the problem of child abuse and neglect. Dr. Fluke was a project consultant and advisor and was the project manager for the first year.
- **Colorado Family Preservation (1994-1995):** The American Humane Association's purpose and objective for this project is to help the State ensure that the planning process is as comprehensive as possible and meets federal requirements to involve a wide cross-section of the community in the development of the five-year plan. Dr. Fluke assisted in developing the evaluation component of the plan.
- **Illinois Staff Development (1992-1993):** American Humane Association was contracted to develop training resources by analyzing the current tasks being performed by child protection investigators and then to develop competencies needed to perform the tasks. Dr. Fluke assisted in the development of an evaluation of training needs and competencies.
- **Grand Rapids Michigan Children's Service Needs Assessment (1994-1995):** The American Humane Association conducted a research study of families to address the pertinent demographic characteristics of client groups, how these families fall into high, moderate or low risk categories for future maltreatment, the specific services needed by the families, and the projected costs for services. Dr. Fluke was a consultant to the project.
- **Navy Family Advocacy Program Risk Assessment Consultation (1993):** The purpose of the project was to assist the Navy to develop a Family Advocacy Program Risk Assessment System. The system was designed to be implemented throughout the Navy. Dr. Fluke was a project consultant.
- **Maryland Workload Analysis and Baseline Evaluation Study (1988-1989):** The purpose of this study was to obtain data on key performance indicators related to the provision of child protective services to serve as a baseline for comparison with similar data to be collected after implementation of a comprehensive state plan to include risk assessment, a new data system, a worker support system, and a competency-based training curriculum. The

John D. Fluke, Ph.D.

Page 9 of 26

project also included a workload study to develop CPS workload standards for the state. Dr. Fluke was project director.

- **Screening in Child Protective Services (1986-1988):** This project, performed under sub-contract to the American Bar Association, focused on screening and prioritization at intake in five states and twelve communities to determine if CPS policy has an effect on actual CPS practice at the point of intake. Data to conduct the study were obtained from a national survey of state laws and policies; a survey of 100 county administrators and supervisors regarding local screening and prioritization; an on-site study of CPS screening in 12 communities from 5 states; a survey of representatives from community agencies in the 12 participating communities; and case registry follow-up of children who were subjects of CPS contacts during the study period. Dr. Fluke was the sub-contract project director.
- **Child Protective Services Risk Assessment Reliability Study (1988-1989):** The purpose of this project was to assess the reliability of a risk assessment instrument developed for use by Colorado CPS workers throughout the case process. Dr. Fluke was the project director.
- **Class Action Lawsuit Alleging Inadequate Child Welfare Services Due to Large Caseloads (1990-1991):** Legal Services Organization of Indiana. Dr. Fluke was an expert witness.
- **National Resource Center for Child Abuse and Neglect (1986-1990):** National Center Child Abuse and Neglect, Federal Health and Human Services. This was a five year grant to operate a resource center to address the systemic needs of service providers and particularly CPS agencies. Dr. Fluke was project manager.
- **Protective Services Hot-line Feasibility Study; Arizona Department of Economic Security (1986):** This study entailed a statewide assessment of the need for a statewide hotline, and resulted in a recommendation that it was probably not warranted at the time. Dr. Fluke was the project manager.
- **Comprehensive Review and Recommendation for Child Protective Services Policy (1985):** Wyoming Department of Public Assistance and Social Services and South Carolina Department of Social Services. These were broad based evaluations of CPS for these states. Dr. Fluke analyzed the state policy documents.
- **Analysis of State Agency Variation in Reporting and Disposition; Virginia Department of Social Services (1983):** The purpose of the project was to evaluate the variation in reporting practices between counties. Dr. Fluke performed the analysis of the central registry data.

RESEARCH EXPERIENCE:

- **Dynamics of Unsubstantiated Reports: A Multi-State Study (1997–2001):** This project was a federal research grant to understand unsubstantiated dispositions in a multi-State context. The objectives were to develop an understanding of how the characteristics of law, policy, practice, case and decision-making are related to the distribution of unsubstantiated dispositions and the outcomes of unsubstantiated dispositions. Dr. Fluke was the principal investigator for the grant.
- **Workload Project; Arizona Department of Economic Security Administration for Children, Youth and Families (1998-1999):** A six month project to assist the state obtain and analyze workload data for purposes of budgeting and workload allocation. Dr. Fluke was the project director.
- **Colorado Caseload Study; Department of Human Services Division of Child Welfare Services (1998-1999):** A project to calculate and report on average caseload size for the state and counties to address the requirements of Colorado Child Welfare Settlement Agreement to reduce caseloads. The project also entails the development of recommendations regarding a workload measurement for child welfare in Colorado. Dr. Fluke was the project director for AHA.
- **Illinois Outcome Measures Project (1997-2000):** A project to assist the University of Illinois Children's Research Center develop procedures and analyze administrative data related to the production of outcome measures for use in court monitoring. Dr. Fluke was the project director.
- **Colorado Analytic Data Base Development; Department of Human Services Division of Child Welfare Services (1997-):** A project to develop an analytic data base from extracts from the Colorado foster care data system and child protective investigation system. The project also involves training the Colorado staff in the analytic data base construction methods. Dr. Fluke is the project director for AHA.
- **Colorado Subsidized Guardianship Project; Department of Human Services Division of Child Welfare Services (1996-1997):** The project objectives were to explore models of cost benefit analysis in the area of subsidized guardianship policies for kinship care and to develop a computer simulation with parameters derived from Colorado foster care data to address cost benefit concerns. The simulation model was designed to address a range of policy scenarios and assist the state in developing its subsidized guardianship policy. A versions of the Children's Services Simulation Model was used as a base for the simulation and modified to address the project needs. Dr. Fluke is the project director for AHA.
- **Technical Assistance for the National Child Abuse and Neglect Data System (1991-):** Subcontract to Walter McDonald and Associates. The American Humane Association assists the National Center on Child Abuse and Neglect develop, collect and analyze national data

on child abuse and neglect reports including aggregate reporting data from between 48 and 50 states each year and state submitted case level data. Dr. Fluke is the subcontract project manager.

- **Rhode Island Workload Management Project (1994-1995):** The project objectives were to develop unit of service definitions, case work practice standards, workload standards, define a system to promote workload equity and to develop a decision support system to assist DCYF supervisors and administrators maintain equitable workloads. Dr. Fluke was the project director for the AHA subcontract.
- **Kentucky Staffing and Workload Evaluation (1992-1993):** The American Humane Association assisted the Kentucky Department of Social Services by providing an evaluation of child protective service workloads and examining current child welfare practice expectations. Dr. Fluke was co-director of the project.
- **Child Welfare Decision Enhancement Project (1993-1995):** Texas Department of Protective and Regulatory Services. Dr. Fluke is a research consultant to this project.
- **Child Protective Services Unit Costing and Service Optimization Project (1990):** The purpose of this project was to develop a unit costing technology that administrators could use for ongoing analysis and financial planning for the Texas Department of Protective and Regulatory Services. The data were combined into a software model that prepares information system extract files for organization and analysis on a system composed of personal computers. The project included initial development of a computer model for optimizing service delivery based on workloads, costs and case outcomes. Dr. Fluke was the project director.
- **Inter-Installation Study of Family Advocacy Central Registry Data Collection Procedures; Office of Family Policy and Support, Department of Defense (1989-1990):** This project involved identifying variations and inconsistencies in data collection procedures. Recommendations were made related to improving data collection procedures. Dr. Fluke was the project director.
- **Family Advocacy Central Registry Data Utilization Project; Office of Family Policy and Support, Department of Defense (1989-1990):** The purpose of this project was to develop training for DOD Central registry staff on data utilization. Dr. Fluke was the project director.
- **Ohio Workload Analysis and Resource Management Project (1988-1989):** The purpose of this project was to define meaningful child welfare service units, to analyze the characteristics of the child welfare workload, to expose administrative staff to the unit costing method, and to develop CPS workload standards that could be implemented in the four participating Ohio counties. Dr. Fluke was project director.

John D. Fluke, Ph.D.

Page 12 of 26

- **Program Classification and Child Evaluation/Referral Systems for New York City's Foster Care Program; American Bar Association Subcontract (1990):** This project involved assisting NYC develop an information system to match children with appropriate placement resources consistent with the terms of Wilder consent decree. Dr. Fluke was the subcontract project manager.
- **National Child Abuse and Neglect Reporting Study; National Center on Child Abuse and Neglect; Federal Health and Human Services (1979-1988):** This multi-year grant was the pioneer effort to collect and report on state child abuse and neglect reports. It involved the collection and analysis of both aggregate and case level data and was the antecedent of the NCANDS project. Dr. Fluke was originally a research analyst and became the project manager.
- **Management Information System Design; Project SAFE Department of Defense (1985-1986):** The objective of the project was to develop a system approach to data collection across multiple programs. Dr. Fluke was a consultant.
- **Analysis of Family Advocacy Reporting System; Department of the Navy (1983-1984):** The Navy contracted with American Humane Association to perform the first analysis of its reporting data. Dr. Fluke was the research analyst for the project.

PRIVATE CONSULTANT

- 1997-1998 **Consultant** - Workload Measurement for Services to the Developmentally Disabled, State of Washington Department of Social and Health Services, Olympia, Washington.
- 1995-1998 **Consultant** - Expedited Permanency Program Evaluation; Patricia Schene, Littleton, Colorado.
- 1995 **Consultant** - Adoption Yardstick Project; Child Welfare Research Center, University of California, Berkeley, California.
- 1991 **Consultant** - California Integrated Service Agency Project; Fourtech Corporation.
- 1983-1988 **Consultant** - Animal Welfare and Control Information System; Metropolitan Animal Services Council.
- 1986 **Consultant** - Social Services Reporting System: Adoptions; Sperry Corporation.

MEMBERSHIPS:

Professional Advisory Boards and Related Responsibilities

Present

Visiting Scholar, Graduate School of Social Work, University of Denver

John D. Fluke, Ph.D.

Page 13 of 26

Founding Member – International Society of the Prevention of Child Abuse and Neglect (ISPCAN) Working Group on Child Maltreatment Data (ISPCAN-WGCMD)
Editorial Board, Journal of Technology in Human Services
Member—International Society for the Prevention of Child Abuse and Neglect
Advisory Board, Center for Violence and Injury Prevention, George Warren Brown School of Social Work, Washington University, St. Louis, MO, USA
Partner, Preventing Violence Across the Lifespan Network, McGill University, Hamilton, Ontario, Canada.
Advisor, Central Independent Advisory Board, Balkan Area Epidemiological Study of Child Abuse and Neglect, Institute Of Child Health Department Of Mental Health And Social Welfare Centre For The Study And Prevention Of Child Abuse And Neglect, Athens, Greece

Past

Technical Advisor to the National Incidence Study on Child Abuse and Neglect
International Study on Violence Against Children, Consultation convener- United Nations
Technical Advisor on Risk Assessment Research to the School of Social Work, University of Toronto
Technical Advisor to the Outcomes Initiative of the New Zealand Children and Young Persons & Their Families Service
Technical Advisor to the Canadian Incident Study, Health Canada
Technical Advisor to the Commission on the Role of Culture and the Assessment of Risk in African American Children and Families - Black Administrators in Child Welfare
Co-convener - Roundtable on Child Protective Services Risk Assessment
Advisory Board for the National Child Abuse and Neglect Data System
Research Advisory Board for the Texas Risk Assessment Evaluation.
Board Member - Mental Health Service, Inc.
Board Member and Board President - Aurora Community Mental Health Center
Board Member - Arapahoe County Placement Alternatives Commission
Member - International Society for the Prevention of Child Abuse and Neglect

PEER REVIEWED PUBLICATIONS

- 2011 Gilbert, R., Fluke, J., O'Donnell, M., Gonzalez-Izquierdo, A., Brownell, M., Gulliver, P., Janson, S., & Sidebottom, (commissioned article, expected publication in 2011). Trends in child maltreatment in six developed countries. Lancet.
- 2011 Detlaff, A., Rivaux, S., Baumann, D. J., Fluke, J.D., & Rycraft, J. R. (accepted, expected publication in 2011), Disentangling substantiation: the influence of race, income, and risk on the substantiation decision in child welfare. Children and Youth Services Review.

PRESENTATIONS & PUBLICATIONS

John D. Fluke, Ph.D.

Page 14 of 26

- 2011 Drake, B., Jolley, J., Lanier, P., Fluke, J., Barth, R., & Jonson-Reid, M. (2011). Racial bias in child protection? a comparison of competing explanations using national data. *Pediatrics Online*, 127(3).
- 2010 Fluke, J. & Oppenheim, L. (2010). Getting a grip on systems of care and child welfare using opposable thumbs. *Evaluation and Program Planning*. 33(1) 41-44.
- 2010 Fluke, J., Chabot, M., Fallon, B., MacLaurin, B., Blackstock, C. (2010). Placement decisions and disparities among aboriginal groups: An application of the decision making ecology through multi-level analysis. *Child Abuse & Neglect*, 34(1), 57-69.
- 2010 Fallon, B., Trocme, N., Fluke, J., MacLaurin, B., Tonmyr, L., Yuan, Y. (2010). Methodological challenges in measuring child maltreatment. *Child Abuse & Neglect*, 34(1), 70-79.
- 2009 AlEissa, M. A., Fluke, J.D., Gerbaka, B., Goldbeck, L., Gray, J., Hunter, N., Madrid, B., Van Puyenbroeck, B., Richards, I. & Tonmyr, L. (2009). A commentary on national child maltreatment surveillance systems: Examples of progress. *Child Abuse & Neglect* 33(11) 809–814.
- 2009 Fluke, J. (2009). Allegory of the cave: on the theme of substantiation. *Child Maltreatment* 14, 69-72.
- 2008 Fluke, J. (2008). Child protective services rereporting and recurrence—Context and considerations regarding research. *Child Abuse & Neglect*, 32(8), 749-751.
- 2008 Fluke, J., Shusterman, G., Hollinshead, D., Yuan, Y.T. (2008) Longitudinal analysis of repeated child abuse reporting and victimization: multistate analysis of associated factors. *Child Maltreatment*, 13(1), 76 – 88.
- 2006 Schoech, D., Basham, R., Fluke, J.D. (2006) A technology enhanced EBP model. *Journal of Evidence-Based Social Work* 3 (3/4), 55-72.
- 2004 Schoech, D., Fluke, J.D., Basham, R., Baumann, D. J., Cochran, G. (2004) Visualizing multilevel agency data using olap technology: an illustration and lessons learned. *Journal of Technology in Human Services* 22 (4), 93-111.
- 2003 Fluke, J.D., Yuan, Y.T., Hedderson, J., & Curtis, P. A. (2003). Disproportionate representation of race and ethnicity in child maltreatment: Investigation and victimization. *Children and Youth Services Review* 25(5/6), 359–373.
- 2002 Fluke, J., Parry, C., Shapiro, P., Hollinshead, D., Bollenbacher, V., The case on unsubstantiated cases, *Policy & Practice*, 60(3) 16 – 22.

PRESENTATIONS & PUBLICATIONS

John D. Fluke, Ph.D.

Page 15 of 26

- 2001 Fluke, J., Edwards, M., Bussey, M., Wells, S., and Johnson, W., Reducing recurrence in child protective services: impact of a targeted safety protocol, *Child Maltreatment*, 6(3), August, 207-218
- 2000 Fluke, J., Edwards, M., Kutzler, P., Kuna, J., Tooman, G., Safety, permanency, and in-home services: applying administrative data, *child welfare*, LXXIX (5) September/October, 573-596.
- 1999 Fluke, J., Yuan, Y. T., Edwards, M., Recurrence of maltreatment: an application of the national child abuse and neglect data system (NCANDS), *Child Abuse & Neglect*, 23(7), 633 –650.
- 1999 Poertner, J., Bussey, M., Fluke, J. (1999). How safe are out-of-home placements? *Children and Youth Services Review*. v 21 n 7, 549-563.
- 1995 Wells, S.J., Fluke, J., D., Brown, C. H. (1995). The decision to investigate: child protection practice in 12 local agencies, *Children and Youth Services Review*. 17(4). 523-535.
- 1991 Nassar, R. and Fluke, J., Pet population and dynamics and community planning for animal welfare and animal control, *Journal of the American Veterinary Medical Association*, Vol. 198(7), 1160-1164.
- 1990 Downing, J. D., Wells, S. J., and Fluke, J., Gatekeeping in child protective services: a survey of screening policies, *Child Welfare*, LXIX(4), 357-369.
- 1989 Wells, S.J., Stein, T.J., Fluke, J. and Downing, J., Screening in child protective services, *Social Work*, 34 (1), 45-48.
- 1989 Fluke, J. and O'Beirne, G., Artificial intelligence-an aide in child protective service caseload control systems, *Computers in Human Services*, 4, 101-109.

MONOGRAPHS AND BOOK CHAPTERS

- 2011 UNICEF. (2011). *Child Disciplinary Practices at Home*, New York: UNICEF (contributing author).
- 2011 Baumann, D.J., Dalgleish, L., Fluke, J., Kern, H. K. (2011). *The Decision Making Ecology*. American Humane Association: Denver.
- 2009 Wulczyn, F., Daro, D., Fluke, J., Feldman, S., Glodek, C., Lifanda, K. (2009). *Adapting a Systems Approach to Child Protection: Key Concepts and Considerations*. Chapin Hall at the University of Chicago: Chicago.
- 2008 Fluke, J., Tonmyr, L., Bianchi, B., Gray, J., Halifax, J., Kim, C. (2008). *Frameworks for*

PRESENTATIONS & PUBLICATIONS

John D. Fluke, Ph.D.

Page 16 of 26

international comparison of child maltreatment data. World Perspectives on Child Abuse: 8th Edition. Chicago: ISPCAN

- 2005 Fluke, J., Shusterman, G., Hollinshead, D., Yuan, Y.T. (2005) Rereporting and Recurrence of Child Maltreatment: Findings from NCANDS (Washington, DC: U.S. Department of Health and Human Services, Office of the Assistant Secretary for Planning and Evaluation).
- 2005 Shusterman, G., Hollinshead, D., Fluke, J., Yuan, Y.T. (2005) Alternative Responses to Child Maltreatment: Findings from NCANDS (Washington, DC: U.S. Department of Health and Human Services, Office of the Assistant Secretary for Planning and Evaluation).
- 2005 Shusterman, G., Fluke, J., Yuan, Y.T. (2005) Male Perpetrators of Child Maltreatment: Findings from NCANDS (Washington, DC: U.S. Department of Health and Human Services, Office of the Assistant Secretary for Planning and Evaluation).
- 2003 English, D. Fluke, J.D. and Yuan, Y.T. (2003). Alternative response to child protective services investigations. In N. Trocmé, D. Knoke, and C. Roy (Eds). *Community collaboration and differential response: Canadian and international research and emerging models of practice* (pp. 64 – 74). Ottawa, ON: Child Welfare League of Canada.
- 2001 Fluke, J., Parry, C., Shapiro, P., Hollinshead, D., Bollenbacher, V., Baumann, D., Davis-Brown, K., **The Dynamics of Unsubstantiated Reports: A Multi-State Study – Final Report**, Denver, Colorado: The American Humane Association.
- 2001 Fluke, J. **Data Construction and Analytic Methods for Large Child Maltreatment Data Sets**, Paper and presentation for the Forum on the Canadian Incidence Study of Reported Child Abuse and Neglect (CIS) and the Étude sur l'incidence et les caractéristiques des situations d'abuse, de négligence, d'abandon, et de troubles de comportement sérieux signalées à la Direction de la protection de la jeunesse (DPJ) au Québec (EIQ). Val David, Québec.
- 2001 Fluke, J., Graham, C., Baumann, D., Esterline J., **System Dynamics Simulation of Child Welfare Permanency Outcomes: an Application of the Children's Services Simulation Model (CSSM)**, In M. Hernandez and S. Hodges (Eds.), *Developing Outcome Strategies in Children's Mental Health* (pp. 183-201). Baltimore, MD: Paul H. Brookes Publishing Co.

PRESENTATIONS

- 2011 Fluke, J., (invited presentation) Indicators and the protection of children victims of exploitation and violence. Stakeholders Meeting "Applying the European Union Agency for Fundamental Rights Indicators on the Rights of the Child: Policy Priorities for Data

PRESENTATIONS & PUBLICATIONS

John D. Fluke, Ph.D.

Page 17 of 26

- Collection.” European Union Agency for Fundamental Rights, February 22-23, Vienna, Austria.
- 2011 Fluke, J., Research synthesis on child welfare disproportionality and disparities: child welfare entries, Race & Child Welfare: Disproportionality, Disparity, Discrimination: Re-Assessing the Facts, Re-Thinking the Policy Options -Working Conference, January 28-29, Harvard Law School, Cambridge, MA .
- 2011 Fluke, J., Dalton, E., Needell, B., Wulczyn, F., Courtney, E., Baumann, D. Taking research to practice: rethinking outcomes and performance measures for the child and family service reviews. Society for Social Work Research Annual Conference, Tampa, FL.
- 2010 Fluke, J., Safety outcomes and safety decision policy: NCANDS and administrative data capacity, limitations, and prospects. Partners for Our Children, November 2, Tacoma, WA
- 2010 Gray, J., Fluke, J., Mansell, J., Madrid, B., Valentine, K., Van Puyenbroeck, B. & Graham, D. (presentation) International Child Maltreatment Data Collection Programs: Context, Perspectives, and Prospects for Development. 18th ISPCAN Congress, September 26. Honolulu, HI.
- 2010 Casillas, K., Fluke, J., Cappa, C. The multiple indicator cluster survey (MICS) of households: cross-national surveillance system to address disciplinary practices. International Family Violence and Child Victimization Research Conference, July 13, Portsmouth, NH.
- 2009 Gray, J., Fluke, J., Mansell, J., Madrid, B., Valentine, K., Van Puyenbroeck, B. & Graham, D. (presentation) International Child Maltreatment Data Collection Programs: Context, Perspectives, and Prospects for Development. 8th ISPCAN Asian Pacific Regional Conference and Australasian Conference, November 17. Perth, WA, Australia.
- 2009 Fluke, J. (presentation) Outcomes in the Long Run: Ingredients for Children’s Protection and Welfare Outcomes Programs. The Second Canadian Roundtable on Child Welfare Outcomes Center for Research on Children and Families, 8 – 9 October, 2009. Centres of Excellence for Children’s Well-Being: Child Welfare, Montreal, Canada.
- 2009 Gray, J., Fluke, J., Tonmyr, L. (presentation) The International Society for the Prevention on Child Abuse and Neglect (ISPCAN) Working Group on Child Maltreatment Data Collection. Congress of the British Association for the Prevention of Child Abuse and Neglect, September 15. Swansea, Wales, UK.
- 2009 Fluke, J., Dalgleish, L., Baumann, D., Wulczyn, F. & Steffen, C. (presentation) Risk Assessment Is Not All There Is: Child Maltreatment Decision Making. 17th National Conference on Child Abuse and Neglect, April 2, Atlanta, USA.

PRESENTATIONS & PUBLICATIONS

John D. Fluke, Ph.D.

Page 18 of 26

- 2009 James, J., Hargett, B., Fluke, J., Parrish, D., Deserly, K., Miller, O. (workshop) Achieving Service Equity, A Forum on Using Research and Promoting Practice to Address Disproportionality. 17th National Conference on Child Abuse and Neglect, April 1, Atlanta, USA.
- 2008 Fluke, J., Tonmyr, L. International Child Maltreatment Data Collection Programs: Context and Perspectives. XVIIth ISPCAN International Congress on Child Abuse and Neglect, Hong Kong, China.
- 2008 Baumann, D., Capouch, D., Fluke, J., and Ortiz, M. Unlocking Disparities: Provider and Community Perspectives. 21st National Research Conference, Research & Training Center for Children's Mental Health, USF - Florida Mental Health Institute, Tampa, Florida.
- 2007 Fluke, J.D., Yuan, Y. T., Gaudiosi, J., (2007). Child Neglect – An Overview of Incidence, Reporting and Child Characteristics. 20th National Research Conference, Research & Training Center for Children's Mental Health, USF - Florida Mental Health Institute Tampa, Florida
- 2007 Fluke, J.D., (2007). The National Child Abuse and Neglect Data System (NCANDS): development and utility of an existing system for collecting data and monitoring child abuse in the US. EUROPEAN SEMINAR ON MONITORING SYSTEMS OF CHILD ABUSE Child abuse: which kind of data for monitoring? 18 January 2007, Istituto degli Innocenti, Florence, Italy.
- 2006 Fluke, J.D., Parry C. F., Baumann D., Sheets J., Wittenstrom K., Jeffries V. (2006). Symposium on Multi-National Research Applications of the Decision Making Ecology (DME) and General Assessment and Decision Making (GADM) models to the Issue of Racial and Ethnic Overrepresentation of Protective Services: Modeling Decision Factors in the US. XVIth ISPCAN International Congress on Child Abuse and Neglect, York, England, UK.
- 2006 Fluke, J. (2006). Symposium on International Child Maltreatment Data Collection Programs: Context and Perspectives, The National Child Abuse and Neglect Data System. XVIth ISPCAN International Congress on Child Abuse and Neglect, York, England, UK.
- 2006 Fluke, J. (2006) Mettre à Jour du US National Child Abuse and Neglect Data System (NCANDS): Tendances et Comparaisons. Presentation at the 74th Association francophone pour la savior (ACFAS), Montreal, Quebec, Canada.
- 2006 Fluke, J., Shusterman, G., Hollinshead, D., Yuan, Y.T. (2006) Rereporting and Recurrence of Child Maltreatment: Findings from NCANDS. Presentation at the 19th Annual Research Conference on Children's Mental Health - A System of Care for

PRESENTATIONS & PUBLICATIONS

John D. Fluke, Ph.D.

Page 19 of 26

Children's Mental Health: Expanding the Research Base, Tampa, FL.

- 2005 Gaudiosi, J., Fluke, J.D., Needell, B., and Wulczyn, F., NCANDS in-depth: Lessons on Outcomes. Presentation at the 15th National Conference on Child Abuse and Neglect, Boston, MA.
- 2004 Fluke, J. D., Managing the Risk of Harm to Children, presentation to the meeting "Keeping Children Safe: The Child Protection System Challenge?" Wingspread Conference November 10-12, 2004
- 2004 Dalgleish, L., Hollows, A., Fluke, J., and Baumann, D., Steps to a Decision Making Ecology for Child Protective Services: A Multi-National Research Perspective. Presentation at the 15th International Congress on Child Abuse and Neglect, Brisbane, Australia.
- 2004 Fluke, J., Yuan, Y.T., and Gaudiosi, J., The National Child Abuse and Neglect Data System. Presentation at the 15th International Congress on Child Abuse and Neglect, Brisbane, Australia.
- 2004 Schoech, D., Farris, J., Fluke, J.D. , and Wittenstrom, K. (2004). Putting data where it counts: deploying child welfare data through OLAP and data warehouse technology. Presentation at the 2004 Annual Conference of the National Resource Center for Information Technology in Child Welfare, Crystal City, Virginia.
- 2004 Gaudiosi, J., Fluke, J.D., Edwards, M., Needell, B., and Sermons, M.W. (2004). NCANDS in-depth: lessons for program improvement. Presentation at the 2004 Annual Conference of the National Resource Center for Information Technology in Child Welfare, Crystal City, Virginia.
- 2003 Schoech, D. Rycraft, J. Fluke, J.D. and Baumann, D. (2003). *Integrating IT, Research, and Performance Measurement: The DEMOS Project*, Paper presented at the 2003 Tools That Work Conference, Child Welfare League of America, Miami, Florida.
- 2003 Fluke, J.D. (2003). *Overview of differential response models in the United States: Results from the Study of CPS Systems and Reform Efforts*. Paper presented at the 4th National Child Welfare Symposium: Community Collaboration and Differential Response, Banff, Alberta, Canada.
- 2003 Radel, L., Sedlak, A., & Fluke, J.D. (2003). *The National Study of CPS Systems and Reform Efforts: Results from the Local Agency Survey*. Paper presented at the 14th National Conference on Child Abuse and Neglect, St. Louis, MO.
- 2003 Peddle, N.A., Yuan, Y.T., Gaudiosi, J., Edwards, M.T., & Fluke, J.D. (2003). *The evolution of a National Reporting System on Child Maltreatment: 25 years of progress*. Paper presented at the 14th National Conference on Child Abuse and Neglect, St. Louis,

PRESENTATIONS & PUBLICATIONS

John D. Fluke, Ph.D.

Page 20 of 26

MO.

- 2003 Cherna, M., Harrell, J., & Fluke, J.D. (2003). *From development to implementation: Using data to improve State and local prevention initiatives*. Paper presented at the 14th National Conference on Child Abuse and Neglect, St. Louis, MO.
- 2003 Fluke, J.D., & Hollinshead, D. (2003). *Child Maltreatment Recurrence: A Leadership Initiative of National Resource Center on Child Maltreatment*. National Resource Center on Child Maltreatment, Duluth, GA.
- 2002 Fluke, J.D. (2002). *Disproportionate representation of race and ethnicity in child maltreatment*. Paper presented at the Children's Bureau Research Roundtable on Children of Color in Child Welfare, Washington, DC.
- 2002 Co-Presenter Presenter with Peddle NA, Yuan YY, Gaudiosi J and Edwards M **Charting the Evolution of a National Reporting System on Child Maltreatment: A Reflection of 25 Years of Progress**, 14th International Congress on Child Abuse and Neglect, International Society for the Prevention of Child Abuse and Neglect, Denver, CO.
- 2002 Co-Presenter Presenter with De Marco, R., Gray, J., Cawson, P., and Yuan, YY., **Comparing National Incidence Data as a Means for Charting the Progress of Child Maltreatment Intervention Strategies**, 14th International Congress on Child Abuse and Neglect, International Society for the Prevention of Child Abuse and Neglect, Denver, CO.
- 2002 **Using Technology for Charting Service Outcomes**, 14th International Congress on Child Abuse and Neglect, International Society for the Prevention of Child Abuse and Neglect, Denver, CO.
- 2002 **Charting Progress in Bridging the Gap Between Practice and Accountability: The Case of Recurrence of Maltreatment**, 14th International Congress on Child Abuse and Neglect, International Society for the Prevention of Child Abuse and Neglect, Denver, CO.
- 2002 **Dynamics of Unsubstantiated Reports of Child Abuse and Neglect: A Decision-making Ecology**, 14th International Congress on Child Abuse and Neglect, International Society for the Prevention of Child Abuse and Neglect, Denver, CO.
- 2002 Co-Presenter with Thomas Hay and John Gaudiosi, **Recurrence of Maltreatment: Avoiding a Repeat of History**, Children 2002: Making Children a National Priority, Child Welfare League of America, March, Washington, DC.
- 2001 **Co-Presenter with John Gaudiosi**, Future Directions For Child Abuse And Neglect Research, **Annual Research Conference, Child Welfare League of America, June, Denver, Colorado.**

PRESENTATIONS & PUBLICATIONS

John D. Fluke, Ph.D.

Page 21 of 26

- 2001 Co-Presenter with Cindy Parry and Donald Baumann, **Dynamics of Unsubstantiated Reports of Child Abuse and Neglect**, Annual Research Conference, Child Welfare League of America, June, Denver, Colorado.
- 2001 Co-Presenter with John Gaudiosi and Jeff Johnson, **Reports, Victims, Maltreatments: What is the Difference? An Introduction to Understanding Child Maltreatment Statistics**, 13 National Conference on Child Abuse and Neglect, April, Albuquerque, New Mexico.
- 2001 Co-Presenter with Cindy Parry and Dana Hollinshead, **Dynamics of Unsubstantiated Reports of Child Abuse and Neglect**, 13 National Conference on Child Abuse and Neglect, April, Albuquerque, New Mexico.
- 2001 Workshop Co-Presenter and Organizer with Fred Wulczyn, **Forecasting and Monitoring Performance in Child Welfare and Children's Services Using Computer Simulation Context, Methods, Examples, and Prospects**, Annual Research Conference: A System of Care for Children's Mental Health, Louis de la Parte Florida Mental Health Institute, February, Tampa, Florida.
- 2001 Presenter and Organizer, **Symposium on the Use of Administrative Data in Child Welfare Research and Evaluation**, Annual Research Conference: A System of Care for Children's Mental Health, Louis de la Parte Florida Mental Health Institute, February, Tampa Florida.
- 2000 Presenter, **System Dynamics Simulation of Child Welfare Permanency Outcomes: An Application of Children's Services Simulation Model (CSSM)** The 13th International Congress on Child Abuse and Neglect, September, Durban, South Africa.
- 2000 Presenter, **The Dynamics of Unsubstantiated Reports: A Multistate Study – Worker and Supervisory Decision Making**, The 13th International Congress on Child Abuse and Neglect, September, Durban, South Africa.
- 2000 Workshop Presenter, **Child Welfare and Children's Services Simulation Workshop Context, Methods, Examples, and Prospects**, Louis de la Parte Florida Mental Health Institute, University of South Florida, Tampa, Florida.
- 1999 Presenter with Donna Pope, **The Impact of Family Preservation Services on Long-Term Out-of-Home Placement in Colorado**, Seventh Annual Roundtable on Outcome Measures in Child Welfare Services, San Antonio, TX
- 1999 Presenter with Ying-Ying T. Yuan, **Outcomes for Child Protective Services: Application and Prospects for the Use of NCANDS Data**, Seventh Annual Roundtable on Outcome Measures in Child Welfare Services, San Antonio, TX

PRESENTATIONS & PUBLICATIONS

John D. Fluke, Ph.D.

Page 22 of 26

- 1998 Presenter, **The Dynamics of Unsubstantiated Reports: A Multistate Study - Policy Review**, The 12th National Conference on Child Abuse and Neglect, November, Cincinnati, OH
- 1998 Presenter, **The Dynamics of Unsubstantiated Reports: A Multistate Study - Policy Review**, The 12th International Congress on Child Abuse and Neglect, September, Auckland, New Zealand.
- 1998 Presenter, **Enduring Issues in Using Administrative Data: Child Protection**, Annual Meeting of The National Association for Welfare Research and Statistics, August, Chicago, IL.
- 1998 Presenter, **Using Administrative Data to Measure Child Welfare Outcomes**, Administrative Data In Child Welfare: Research Strategies And Prospects For The Future, June, Cornell University, Ithaca, NY.
- 1998 Presenter, **Promoting the Dialogue Between Local and National Data Systems**, Sixth Annual Roundtable on Outcome Measure, April, San Antonio, TX.
- 1997 Presenter, **Subsidized Guardianship: Simulation Model Use and Considerations**, Kinship Care: A Natural Bridge, August, San Francisco, CA.
- 1997 Convener and Instructor, **Seminar on the Utilization Computer Simulation in Child Protective and Child Welfare Services**, Chapin Hall Center for Child and Families, University of Chicago, July, Chicago, IL.
- 1997 Presenter, **Child Maltreatment Recurrence**, 11th Roundtable on Child Protective Services Risk Assessment, July, San Francisco, CA.
- 1997 Presenter, **Child Maltreatment Recurrence**, 5th International Family Violence Research Conference, Durham, June, New Hampshire
- 1997 Presenter, **Status of the National Child Abuse and Neglect Data System**, National Child Welfare Conference, Washington, DC.
- 1996 Workshop Presenter, **Outcome Measures in Child Welfare Services**, Eleventh National Conference on Child Abuse and Neglect, Washington, DC.
- 1996 Mini-Plenary Organizer and Presenter, **Weaving the Future of Research and Evaluation: the Need to Know**, Eleventh National Conference on Child Abuse and Neglect, Washington, DC.
- 1996 Presenter, **Family Decision Making and Community Based Social Work in the United States**, Eleventh International Congress on Child Abuse and Neglect, Dublin, Ireland.

PRESENTATIONS & PUBLICATIONS

John D. Fluke, Ph.D.

Page 23 of 26

- 1996 Workshop Organizer and Panelist, **National Child Maltreatment Data Collection and Analysis Systems: Perspectives from Four Countries**, Eleventh International Congress on Child Abuse and Neglect, Dublin, Ireland.
- 1996 Fluke, J., Cotton, E., Harper, C., Berdie, J., Salovitz, B., Edwards, M., Brittan, C., Groginski, L., **Illinois Child Endangerment Risk Assessment Protocol: A Report Concerning the Development and Testing of the Protocol**, Illinois Department of Children and Family Services.
- 1996 Presenter, **The Status of Child Welfare Data**: Meeting of the Child Protection Study Group, The Institute for Families in Society, University of South Carolina, Wild Dunes, South Carolina.
- 1995 Presenter, **The Children's Services Simulation Model (CSSM)**, 30th Annual Meeting of the National Association of Child Welfare Research and Statics, Jackson Hole, Wyoming.
- 1995 Fluke, J. Baumann, D., England, T., Kern, H., Law, R., McFadden, T., Schultz, F. **Emerging Critical conceptual Issues in Risk Assessment Research and Practice**, in Eighth National Roundtable on CPS Risk Assessment, Summary of Highlights, Ed. Toshio Tatara. Washington, DC: APWA.
- 1995 Co-Presenter with Ying-Ying Yuan, **NCANDS: The National Child Abuse and Neglect Data System: state and national perspectives**; APSAC fourth National Colloquium, Tucson, Arizona.
- 1994 Presenter, **Modeling Children's Services**, Tenth International Congress on Child Abuse and Neglect, Kuala Lumpur, Malaysia.
- 1994 Presenter, **Organizational Development: Application in Child Welfare Services**, Recipe for Excellence: Measuring Quality in Child Welfare Services, Keystone, Colorado.
- 1994 Fluke, J., Wells, S., England, P. , Walsh, W., English, D., Johnson W., Gamble, T., and Woods, L., **Evaluation of the Pennsylvania Approach to Risk Assessment**, in Seventh National Roundtable on CPS Risk Assessment, Summary of Highlights, Ed. Toshio Tatara. Washington, DC: APWA.
- 1993 Presenter, **Decision Support Systems**, Tenth National Conference on Child Abuse and Neglect, Pittsburgh, Pennsylvania.
- 1993 Presenter, **Evaluation of the Pennsylvania Approach to Risk Assessment**, Eighth Roundtable on CPS Risk Assessment, San Francisco, California.

PRESENTATIONS & PUBLICATIONS

John D. Fluke, Ph.D.

Page 24 of 26

- 1993 Fluke, J, **Some Ways of Thinking About Outcome Measurement**, in Summary of Proceedings; First National Roundtable on Outcome Measures in Child Welfare Services, Ed. Nancy McDaniel, The American Humane Association: Englewood, CO.
- 1991 Presenter, **Optimizing Outcomes and Resources for Effective Child Protective Services**, Reaffirming Our Roots-Ninth National Conference on Child Abuse and Neglect, Denver, Colorado.
- 1991 Presenter, **Mini-Plenary-Toward a Shared Understanding: The Development and Use of Child Welfare Information**; Reaffirming Our Roots-Ninth National Conference on Child Abuse and Neglect, Denver, Colorado.
- 1991 Presenter, **An Automated Model for Determining Costs of Child Protective Services**, National Association for Welfare Research and Statistics, Charleston, South Carolina.
- 1991 Faculty Presenter, **Application of Decision Support Technology in Child Welfare Services**, Human Services Information Technology Applications-2, New Brunswick, New Jersey.
- 1991 Fluke, J. D., Risk Assessment and Workload Characteristics, in **Summary of Highlights-Fourth National Roundtable on CPS Risk Assessment**, Ed. Toshio Tatara, American Public Welfare Association, Washington, D.C.
- 1991 Wells, S. J., Anderson, T. L., Fluke, J. D., Screening and Risk Assessment in Child Protective Services, in **Summary of Highlights-Fourth National Roundtable on CPS Risk Assessment**, Ed. Toshio Tatara, American Public Welfare Association, Washington, D. C.
- 1990 Interview with John Fluke, **Computer Use in Social Services Network**, 10(1), pp. 7-10.
- 1989 Presenter, **Workload Analysis and Resource Management in Child Protective Services**, 8th National Conference on Child Abuse and Neglect, Salt Lake City, Utah.
- 1989 Fluke, J., Edwards, M., and Stith, R., **The Cost of Child Protective Services, Protecting Children**, 6(3), pp. 25-29.
- 1988 Presenter, **Workload Analysis and Resource Management**, Annual Meeting of National Association of Public Child Welfare Administrators, Washington, D.C.
- 1988 Presenter, **Various Topics**, 1988 Annual Meeting of the American Association for Protecting Children, Tacoma, Washington.
- 1988 John D. Fluke and Greg O'Beirne, **Prospects for Artificial Intelligence in CPS Reorganization Efforts in Protecting Children**, Vol 4(4), pp 7-10.

PRESENTATIONS & PUBLICATIONS

John D. Fluke, Ph.D.

Page 25 of 26

- 1987 Presenter, **Prospects for the Application of Artificial Intelligence in Child Protective Services**, First International Conference for Human Services Information Technology Applications, Birmingham, UK.
- 1987 Presenter, **Various Topics**, 1987 Annual Meeting of the American Association for Protecting Children, Austin, Texas.
- 1986 Presenter, **Is Child Abuse Increasing**, 1986 Annual Meeting of the American Association for Protecting Children, Denver, Colorado.
- 1986 Presenter, **Reporting and Response to Child Abuse and Neglect**, Seventh International Congress on Child Abuse and Neglect, Sydney, Australia.
- 1986 Presenter, **National Association for Welfare Research and Statistics**, Richmond, Virginia.
- 1985 Presenter, **Analysis of 1984 Child Abuse and Neglect Reporting Data**, Seventh National Conference on Child Abuse and Neglect, Chicago, Illinois.
- 1984 Organizer, **Working Conference on Child Protective Services Policy** in conjunction with the 1984 Annual Meeting of the American Association for Protecting Children, Anaheim, California.
- 1984 Organizer, Conference session on policy research in **Child Protective Services** for the Second National Conference for Family Violence Researchers at the University of New Hampshire.
- 1984 Suski, L.B., Schene, P., Fluke, J.D., Costello, T., **Navy Family Advocacy Program: The Management and Utilization of Program Information**, American Humane Association, Denver, Colorado.
- 1984 Fluke, John, **Reports of Child Maltreatment by Medical Sources**, American Humane Association, Denver, Colorado.
- 1983 Bycer, A.M., Fluke, J.D., Costello, T., Schene, P., Breed, L., **Navy Family Advocacy Program: The Demographics of Family Violence on the Navy and Marine Corps**, American Humane Association, Denver, Colorado.
- 1983 Trainor, C.M., De Panfilis, D., Fluke, J.D., **Child Abuse and Neglect Reporting and Disposition in the State of Virginia**, American Humane Association, Denver, Colorado.

PRESENTATIONS & PUBLICATIONS

John D. Fluke, Ph.D.

Page 26 of 26

- 1981 **Aggregation and Compatibility of Social Service Data.** An unpublished paper presented at the First National Conference for Family Violence Researchers, Durham, New Hampshire.
- 1980 Yomut Turkmen Bride Price and Marriage Preference Rules: **An Economic Selection Hypothesis with Demographic Controls.** Unpublished MA Thesis, Pennsylvania State University.
- 1979- Contributing Author, **National Study on Child Neglect and Abuse Reporting,**
1988 American Humane Association, Denver, Colorado.

VITA

Donald J. Baumann, Jr.

ADDRESS: Work: Saint Edwards University
3001 South Congress
Austin Texas 78704-6489
512-448-8648
donalddb@stedwards.edu

Home: 1700 Cliffwood Drive
Austin, Texas 78733
(512) 263-8528
dbaumann@austin.rr.com

EDUCATION

1981 Ph.D., Social Psychology, Arizona State University
(emphasis on Applied Social/Community Psychology)

1978 M.A., Social Psychology, Arizona State University

1975 B.A., Magna Cum Laude, Arizona State University

PROFESSIONAL EXPERIENCE

Present: Senior Research Fellow, American Humane Association and Instructor, Saint Edwards University.

1997 - 2010: Head of Program Evaluation and Research, Child Protective Services, Texas Department of Family and Protective Services.

Research & Evaluation Activities: Principal Investigator on a number of grants funded through the Child Abuse and Treatment Act, Casey Family Programs and The American Humane Association. The general purposes of the grants were program evaluation and decision-making. For example, one grant was used to implement and evaluate a state law requiring the agency to screen more serious cases into a child abuse investigation track and less serious cases into an assessment track. A second developed an actuarial model that allowed the agency to build into the Child Protective Services computerized data system that "alerted" caseworkers to the potential in a case for a future child fatality. Another large project involved understanding the disproportionate number of African Americans in foster care. Analyses involved accessing large-scale data sets (millions of records) from state systems and constructing

secondary data sets from these data and interview and survey data accessed elsewhere. In a typical year, three to four large scale research and evaluation projects were funded by grants and ten moderate size projects funded through the department were conducted. Analyses were conducted using SAS, SPSS and other, packages. The typical types of analyses included descriptive work, multiple regression, logistic regression, neural network, structural modeling and multi-level modeling. The projects also required managing tight project timelines. Publications, reports and conference presentations resulted. In a typical year, three to four large scale research and evaluation projects and ten moderate size projects were conducted. The overarching purposes of the projects were to enable management to make programmatic decisions and to understand and aid caseworker decision-making.

Supervision and Teaching: Recruited, trained, and supervised four Ph.D. Research Associates, five Program Specialists, one Masters level Research Assistant, two graduate students, six Research Assistants, and two undergraduate Independent Study students. The section typically is comprised of a team of seven to ten individuals at any one time as they work on a variety of projects. These include three major multi-year research projects, three single year research projects, and numerous ad hoc short-term projects. Additional supervision duties include oversight on contracts awarded for research projects conducted by independent organizations (typically a university). In addition to working closely with management and staff, supervision duties include quality assurance, research design, measurement development, data collection and analysis, publications, report writing and presentation. Taught at least one course per semester from 2000 to the present at St. Edward University. Classes include Research Methods, Abnormal Psychology, Personality Theory, Social Psychology, Developmental Psychology, Program Evaluation, and Tests and Measurement.

Consultant on eight federally funded multi-year research grants.

1997 - 1991: Lead Researcher, Program Evaluation & Research (formerly Program Assessment Section), Child Protective Services, Texas Department of Protective and Regulatory Services (formerly DHS).

Research and Evaluation Activities: Co-principal Investigator on a three-year research grant funded by the Child Welfare Division of the Department of Health and Human Services. The purpose of the grant was to study caseworker decision-making and risk assessment. Structural and other models that used environmental, organizational, individual, and case factors were used to predict shifts in judgment thresholds and decision consequences (e.g., child safety, burnout and turnover) were developed. Numerous data sets were developed. They required acquiring data from state systems using SQL and other programs, constructing data sets from these data and data from other sources (e.g., public, caseworkers, etc.), and conducting diagnostics and analyses on them through the use of SAS, SPSS and other packages (in particular survival, time series and other forecasting procedures were often used. The resulting report covered twelve chapters and a book on the topic is being negotiated. Many conference presentations resulted, one of which was a keynote address.

Tested models of organizational performance using techniques from operations research (e.g., linear programming/optimization etc.). This involved developing and simultaneously testing sets

of system performance equations. Worked on a number of smaller research studies that included workload management, worker performance, and outcome measurement. Outcome measurement included being familiar with education-related issues.

Began directing a three year Federally funded research grant funded through the Child Abuse and Treatment Act to develop empirical models that screened cases in and out of the system of care at various decision points (e.g., risk and safety instruments).

Worked with numerous agencies and groups (i.e., shelter providers, foster parents, residential treatment facilities, etc. to help develop outcome measures that were used to begin building a quality assurance system that would allow performance feedback to the agencies and the department. The development of stakeholder satisfaction surveys was also part of this three-year process. This involved knowledge of the Texas education system and a familiarity with large-scale education data sets.

Consultant to several states and agencies on decision-making and risk assessment.

Supervision and Teaching: Recruited, trained, and supervised two Ph.D. Research Associates, one Masters level Research Assistant, three graduate students, four Research Assistants, and 10 to 15 undergraduate Independent Study students. The section typically had a team of ten of these individuals at any one time as they worked on two major multi-year, and numerous single study, research projects. Individuals participated at every level of the projects from design (qualitative and quantitative) to data collection and analysis (e.g., descriptive, predictive, structural modeling, etc.), through report writing and verbal presentations to agency staff and management. Additionally, helped develop one of the early quality assurance systems in the division. Taught at least one psychology course per semester from 1993 to 1997 at Austin Community College.

1989-1991: Visiting Professor, Department of Psychology, Trinity University, San Antonio, Texas.

Research and Evaluation Activities: Principle Investigator on a grant from the City of Houston, Harris County, the United Way of the Texas Gulf Coast, and McKinsey and Company. The purpose of the grant was to conduct research and program planning on homelessness, in particular to produce an empirically based plan for coordinated services among a diverse service delivery system. In order to collect data, a methodology to obtain a representative sample of homeless individual on the street, in shelters, in abandoned buildings and temporarily housed with others had to be devised. This resulted in an estimation procedure presented to the U.S. Census Bureau. The research involved coordinating individuals collecting data from the homeless throughout the city of Houston and outlying areas as well as managing challenging timelines. A large-scale report and the distribution of seven million dollars to various agencies resulted.

Research Director on a program evaluation of a three-year team case management demonstration project from the U.S. Department of Health and Human Services involving mental health and

employment among homeless adolescents, women and adult men. Data collection involved acquiring data from state systems, constructing data sets from these data and data from other sources (e.g., the homeless, providers, etc.), and conducting diagnostics and analyses on them through the use of SAS, SPSS and other packages. Numerous reports resulted.

Supervision and Teaching: Recruited, placed with the City of Houston, trained and supervised ten graduate students from Texas Southern University, one from Saint Thomas University, and two from the University of Houston. The research/planning team worked with McKinsey and Company and other community leaders (e.g., the City Council, County Commissioners, board members, etc.) to produce a plan for the homeless.

Recruited, trained, and supervised ten undergraduate students from the University of Texas who were part of a research team to study case managed job training for the homeless. Students worked with the Austin Women's Center, the Salvation Army, Middle Earth, the Private Industry Council, and the Texas Employment Commission as part of the Project.

Taught courses in Introductory Psychology (four semesters), Social Psychology (two semesters), Developmental Psychology (two semesters), Motivation and Emotion (one semester), Personal Relationships (one semester), Social Problems (one semester), and Independent Readings/Research (two semesters). Directed and advised undergraduate students, participated with the faculty in curriculum development, and supervised numerous research projects on campus.

1982-1989: Assistant Professor, Department of Psychology, University of Texas at Austin.

Research and Evaluation Activities: Principle Investigator, Austin Police Department. Quasi-experimental investigations of time spent by police officers on chronic nuisance calls. In order to accomplish this, SAS was purchased by the police department, installed on the main-frame and a programmer who understood the data base was assigned to work with the Principle Investigator. A process for reducing chronic nuisance calls resulted.

Supervision of a Doctoral Dissertation of police decision making as a function of prior dispatched expectancies. Studies involved the retrieval of archival data from the Police Department's main-frame computer using SAS and the use of the police training academy.

Principle Investigator, University of Texas. Theory and research involving rape cases based on a consent defense. Studies involving actual data from the Austin District Attorney's Office and simulated juror studies were conducted. Publications resulted. Analyses involved the use of SPSS.

Principle Investigator, the Hogg Foundation and the City of Austin. The purpose of the two years of funding was to develop theory, conduct research, and provide program planning, and program evaluation on the homeless. A methodology was developed to collect a representative sample of street homeless, data were collected and both a model of homelessness and of service provision was provided. The work continued beyond the project for six years. Analyses

involved the use of SPSS. Publications, reports, and conference presentations resulted.

Principle Investigator, Policy Research Institute, University of Texas. The purpose of the grant was to investigate arrest rates among the mentally ill. This project involved demonstrating that visibility rather than criminalization caused heightened arrest rates among the homeless mentally ill. A report resulted.

Principal Investigator, University of Texas. Programmatic research involving the issue of altruism vs. egoism. This laboratory research program extended from graduate school spanning eight years and resulted in a number of publications.

Supervision and Teaching: Developed relationships with the Austin Police Department and the Travis County Prosecutor's office. Supervised graduate and undergraduate students working with these agencies. Students wrote theses and articles.

Recruited, trained and supervised ten graduate students from Psychology, Sociology, and Social Work to conduct two years worth of research and planning on the homeless. Supervised and trained at least 5 graduates and ten undergraduate students from the Department of Psychology each semester. Worked with the Austin City Council, the Downtown Partners, the Salvation Army, MHMR, the Health Department, the Battered Women's Center, local churches and private citizens in the process. Students wrote reports and articles.

Taught undergraduate courses in Introductory Psychology (14 semesters), Social Psychology (six semesters), and Independent Study (14 semesters). Taught graduate courses in Applied Social Psychology (six semesters) where a large share of the course was devoted to program evaluation, quasi-experimental methods, and qualitative methods. Taught Special Topics at a graduate level on Altruism and Homelessness (one semester each). Recruited and advised undergraduate and graduate students, wrote and secured grants, supervised internships, conducted and directed research, served on the Faculty Senate, the Department Budget Council, and departmental committees.

1981 - 1982: Faculty Associate, Department of Education, Arizona State University.

Research and Evaluation Activities: Project Director, qualitative and quantitative program evaluation of an academic program designed to provide tutoring and advisement to student-athletes at Arizona State University. Required knowledge of education-related issues and of large-scale educational data sets.

Principle Investigator, City of Phoenix Police Department/Phoenix South Community Mental Health Center. Quasi-Experimental and qualitative program evaluation of crisis intervention services provided to individuals on the part of a police-citizen crisis intervention program. The principle dependent measures were number of police calls and time spent by police officers per call. Database consisted of over 10,000 police calls from a two year period and six months of observations of police and crisis intervention workers.

Consultant on grant from the National Institute of Drug Abuse. The purpose of the grant was to investigate the effects of treatment upon heroin abusing males and females.

Consultant on a contract with the State of Arizona. The purpose of this project was to develop and implement an outcome measurement instrument to be used by providers of various programs throughout the state of Arizona.

Research Supervision and Teaching: Recruited, trained and supervised five graduate students from the Department of Education and two undergraduates from the Department of Psychology to study student athletes. Students worked with the University administration, Faculty Senate, and the Athletic Program. Students participated in qualitative and qualitative data collection and analysis and report writing.

Recruited, trained and supervised ten undergraduate and one graduate student who participated in observations of police officers and crisis intervention workers on the job. Qualitative and quantitative data were collected, and analyzed. Students also wrote reports and articles.

Taught courses in Social Psychology (two semesters) and Independent Study (two semesters). Advised undergraduate and graduate students. Wrote and secured grants, supervised internships, conducted and directed research.

1976-1981: Graduate Student, Arizona State University.

Research and Evaluation Activities: Research Assistant, Phoenix South Community Mental Health Center. Directed program evaluation and development, provided methodological and statistical consultation, and directed the development of computerized research data base systems. Additional duties included development and supervision of theoretical as well as practice models for rates under treatment studies, fee collections studies, etc.

Research Assistant with a multidisciplinary team that sought to better understand literacy development in the Community College. Research involved investigating the relationship between stress and the use of social support systems by minorities in the Community College. Duties included instrument development and implementation, staff training and management and statistical analysis of data.

Planner, Migrant Opportunity Program. Phoenix, Arizona. Duties included, grant writing, program planning and evaluation, and staff training and development.

Research Analyst, state-funded career education survey, Career Education Evaluation Project, Arizona State University. Duties included conceptual and statistical consultation.

Research Analyst, Alcohol Treatment Programs, Veterans Administration Hospital, Phoenix, Arizona. Developed and experimentally tested an attribution model of therapeutic intervention.

Project Director, State-funded needs assessment survey, Community Behavioral Health Services, Phoenix West Central Catchment area. Planned, developed and tested a needs assessment model based on primary prevention.

Supervision and Teaching: Taught courses in Social Psychology (four semesters), Introductory Psychology (one semester), Developmental Psychology (one semester), and Personality Theory (one semester). The latter three courses were taught at a community college. Supervised and trained undergraduate students and conducted research. Provided field placements for students in a mental health center and a farmworker program.

PUBLICATIONS:

Kenrick, D., Baumann, D., & Cialdini, R. (1979). A step in the socialization of altruism as hedonism: Effect of negative mood on children's generosity under public and private conditions. *Journal of Personality and Social Psychology*, 37, (5), 747-755.

Christiansen, J.A., Reich, J.W., Obitz, F.W., & Baumann, D. (1980). Effect of information about role and outcome on alcoholics attributional processes. *Journal of Studies on Alcoholism*, 11, 922-929.

Baumann, D., Cialdini, R., & Kenrick, D. (1981). Altruism as hedonism: Helping and self-gratification as equivalent responses. *Journal of Personality and Social Psychology*, 40, 1039-1046.

Cialdini, R., Baumann, D., & Kenrick, D. (1981). A new unobtrusive measure of attitude. *Social Psychology Quarterly*, 44, 254-259.

Cialdini, R., Baumann, D., & Kenrick, D. (1981). Insights from sadness: three-step model of the development of altruism as hedonism. *Developmental Review*, 1, 207-223.

Cialdini, R., Kenrick, D., & Baumann, D. (1982). Effects of mood on prosocial behavior in children and adults. In N. Eisenberg (Ed.), *Development of Prosocial Behavior*. New York: Academic press.

Baumann, D., Obitz, F., & Reich, J. (1983). Attribution theory: A fit with problems of substance abuse. *International Journal of the Addictions*, 18, 299-307.

Baumann, D., Cialdini, R. & Kenrick, D. (1983). Mood and sex differences in the development of altruism as hedonism. *Academic Psychology Bulletin*, 5, 2, 299-307.

Baumann, D.J. (1984). Decision with consequences (Review of *The Badge and the Bullet: Police Use of Deadly Force*). *Contemporary Psychology*, 29, 557-558.

Manucia, G., Baumann, D. & Cialdini, R. (1984). Mood influences on helping: Direct effects or side effects? *Journal of Personality and Social Psychology*, 46, 2, 357-364.

Okun, M.A., Kardosh, C.A., Stock, W.A., Sandler, I.N., & Baumann, D. (1986). Measuring perceptions of the quality of academic life among college students. *Journal of College Student Personnel*, 27, 5, 447-451.

Baumann, D., Schultz, D.F., Brown, C., Paredes, R., & Hepworth, J. (1987). Citizen participation in police crisis intervention activities. *American Journal of Community Psychology*. 15, 4, 459-471.

Baumann, D., & Grigsby, C.G. (1988). *Understanding the homeless: From research to action*. Hogg Foundation for Mental Health, University of Texas.

Okun, M.A., Baumann, D., & Sandler, I.N. (1989). Ethnicity, source of informal support, and buffer and booster effects for school events. *American Journal of Community Psychology*.

Grigsby, C.G., Baumann, D., Gregorich, S. & Roberts-Gray, C. (1990). Disaffiliation to entrenchment: A model for understanding homelessness. In B. Shinn (Ed). *Journal of Social Issues: Special Edition on Homelessness*, 46, 4, 1414-156.

Baumann, D., Roberts-Gray, C., Grigsby, C. (1991). Estimates of the homeless in Houston, Texas. In M. Taeuber (Ed), *Conference proceedings for enumerating homeless persons: Methods and data needs*. U.S. Bureau of the Census, Washington, D.C., pp. 177-178.

Baumann, D., & Holahan, C.J. (1992). The community psychologist. In Gifford, R. (Ed). *Psychology in Everyday Life: An Introduction to the Practices of Psychology*. Allyn & Bacon: Boston.

Gains, S.O., Roberts, D., & Baumann, D. (1993). When all the World's a Stage: The impact of events on news coverage of South Africa. *Journal of South African Studies*.

Kern, H., Baumann, D., & Sheets, D. (1994). Texas WISDOM: A three-year research project to build effective CPS decision making instruments. In Tatara, T. (Ed). *Seventh National Roundtable on Risk Assessment: Summary of Highlights*. American Public Welfare Association, Washington, D.C.

Fluke, J., Baumann, D., England, P., Kern, H., McFadden, T., and Schultz, D.F. (1995). Emerging critical conceptual issues in risk assessment research and practice. In Tatara, T. (Ed). *Eighth National Roundtable on Risk Assessment: Summary of Highlights*. American Public Welfare Association, Washington, D.C.

Baumann, D. & Sheets, J. (1997). Foundations of the decision making ecology and patterns of decision making. In Tatara, T. (Ed). *Eight National Roundtable on Risk Assessment: Summary of Highlights*. American Public Welfare Association, Washington, D.C.

Baumann, D. (1997). Decision theory and CPS decision making. In Morton, T.D. and Holder, W. (Eds). *Decision Making in Children's Protective Services: Advancing the State of the Art*.

National resource Center on Child Maltreatment, Atlanta, pp17-37.

Baumann, D., Sheets, J., Graham, J.C., Gober, K., and Reid, G. (1999). Concept guided risk assessment. In Edwards, M. (Ed). *Tenth National Roundtable on Risk Assessment: Summary of Highlights*. American Humane Association, Denver, CO

Caouette, K. & Baumann, D. (2000). Texas 2000; The evolution of risk assessment in Texas. In Edwards, M. (Ed). *Twelfth National Roundtable on Risk Assessment: Summary of Highlights*. American Humane Association, Denver, CO

Fluke, J., Graham, J.C., Baumann, D. & Esterline, J. (2001). *System dynamics simulation of child welfare permanency outcomes: An application of the Children's Services Simulation Model*. In Hernandez, M. & Hodges, S. (Ed). Brooks, Baltimore

Osborne, R., Baumann, D. & Osborn, M. (in press). Perceptions of health on the part of the homeless. *Journal of Homelessness Studies*.

Baumann, D., Graham, J.C., Beauvais, C., and Bradstreet, R. (accepted with revisions). Moral evaluations and the law: A prototypical case. *Journal of Applied Social Psychology*.

Baumann, D. J., (1997). Decision theory and CPS decision making. In Morton, T.D. and Holder, W. (Eds). *Decision Making in Children's Protective Services: Advancing the State of the Art*. National resource Center on Child Maltreatment, Atlanta, pp17-37.

Baumann, D., Kern, H.. & Fluke, J. (1997). *Worker Improvements to the Decision and Outcome Model (WISDOM): The Child Welfare Decision Enhancement Project*. Prepared for the Department of Health and Human Services, Child Welfare Division, Washington, D.C.

Fluke, J., Graham, J.C., Baumann, D. J., & Esterline, J. (2001). *System dynamics simulation of child welfare permanency outcomes: An application of the Children's Services Simulation Model*. In Hernandez, M. & Hodges, S. (Ed). Brooks, Baltimore

Baumann, D.J., Law, J.R., Sheets, J., Reid, G., & Graham, J.C (2005). Evaluating the effectiveness of actuarial risk assessment models. *Children and Youth Services Review*,_27, 465-490.

Baumann, D.J., Law, J.R., Sheets, J., Reid, G., & Graham, J.C (2006). Remarks concerning the importance of evaluating actuarial risk assessment models: A rejoinder to Will Johnson. *Children and Youth Services Review*,_28, 715-725.

Rivaux, S. L., James, J., Wittenstrom, K., Baumann, D. J., Sheets, J., Henry, J., and Jeffries, V. (2008). The intersection of race, poverty and risk: Understanding the decision to provide services to clients and to remove children. *Child Welfare, Special Issue on Disproportionality*.

Sheets, J., Wittenstrom, K., Fong, R., James, J., Tecci, M., Baumann, D. J., and Rodriquesz, C. (2009). Evidence based practice in family group decision-making for African American and

Hispanic Families. *Children and Youth Services Review*, 31, 1187-1191.

Graham, J. C., Stepura, K., Baumann, D. J., and Kern, H., (2010). Predicting fatalities among less severe investigations. *Children and Youth Services Review*, 32, 274-280.

Baumann, D. J., Fluke, J. D., and Dalglish, L., (2011). The Decision Making Ecology. *Special Monograph: The American Humane Association*.

Dettlaff, A., Rivaux, S., Baumann, D. J., Fluke, J., Rycraft, J., & James, J. (in press). Disentangling Substantiation: The Influence of Race, Income, and Risk on the Substantiation Decision in Child Welfare. *Children and Youth Services Review*.

Baumann, D.J., Grigsby, C., Sheets, J., Graham, J.C., & Reid, G. (in press). Concept guided risk assessment: Promoting prediction and understanding. *Children and Youth Services Review*.

James, J., Rodriguez, C., Craig, S., and Baumann, D.J., (under review). Reform Efforts in Texas: The Community Engagement Model and Preliminary Evaluation Findings. *Protecting Children*, The American Humane Association.

TECHNICAL REPORTS (Selected reports after 2002 shown. Others available on request)

Kenrick, D.T., Braver, S.L., Baumann, D., & Paredes, R. (1981). Form for assessment of Client Treatment Services. Prepared for State of Arizona, State Director of Behavioral Health Services.

Baumann, D., Brown, C.B., & Schultz, D.F. (1982). Phoenix South Community Mental Health Center Family Stress Program: Final Evaluation Report. Prepared for the Phoenix Police Department. December.

Baumann, D., & Gutierrez, S. (1982). Applications of attribution theory to problems of drug abuse: A theoretical and empirical review. Prepared for the National Institute of Drug Abuse, grant 1-R101:DA02696, December.

Baumann, D., Cabianca, W., Cahen, L. (Principle Investigator), Haring, M., Lancy, D., Schultz, D.F., & Stout, R. (1982). Athletic Department Academic Program and Tutoring (ADAPT): An overview and preliminary evaluation. Prepared for President Page Mulhollan, Arizona State University, July.

Baumann, D., Brown, C., & Paredes, R. (1982). 1980-1981 Annual Report. Prepared for Phoenix South Community Mental Health Center.

Beauvais, C., Baumann, D., Schultz, D.F., & Grigsby, C. (1984). The Austin Homeless: Technical Report no. 1. Prepared for the Austin Police Department, Austin, Texas, November.

Grigsby, C., Baumann, D., Schultz, D.F., & Beauvais, C. (1984). The Austin Homeless: Technical Report no. 2. Prepared for the Austin Housing and Community Services Department,

Austin, Texas, December.

Schultz, D.F., Grigsby, C., Baumann, D., & Beauvais, C. (1985). The Austin Homeless: Technical Report no. 3. Prepared for the Austin/Travis County Community Mental Health Center, Austin, Texas, January.

Baumann, D., Grigsby, C., Beauvais, C., & Schultz, D.F. (1985). The Austin Homeless: Technical report no. 4. Prepared for the Austin/Travis County Health Department, Austin, Texas, March.

Baumann, D., Grigsby, C., Beauvais, C., & Schultz, D.F. (1985). The Austin Homeless. Final Report. Prepared for the Hogg Foundation for Mental Health, Austin, Texas, May.

Baumann, D., Grigsby, C., Beauvais, C., Bishop, S., Gregorich, S., Osborne, M., & Nelms, D. (1986). Task Force on the Homeless, Volume I: Program Plan and Projected Budget. Prepared for the City of Austin, Texas, July.

Baumann, D., Osborne, M., Beauvais, C., Grigsby, C., Gregorich, S., Bishop, S., & Nelms, D. (1986). Task Force on the Homeless, Volume II: Supplement to the Final Report. Prepared for the City of Austin, Austin, Texas, August 1.

Grigsby, C.G., Roberts-Gray, C., & Baumann, D. (1989). Demonstration of Team Case Management to Provide Job Training Activities to the Homeless. Prepared for the Department of Labor, Employment and Training Administration, Washington, D.C.

Baumann, D., Grigsby, C.G., & Roberts-Gray, C. (1989). Homelessness in Houston, Harris County, and the Texas Gulf Coast United Way Service Delivery Area. Prepared for the Coalition for the Homeless of Houston and Harris County, Houston, Texas.

Kern, H., Baumann, D., McFadden, T., & Law, J.R. (1993). Caseworker Study Part I: Burnout and Turnover. WISDOM Project, Texas Department of Protective and Regulatory Services. Prepared for the Department of Health and Human Services, Child Welfare Division, Washington, D.C.

Law, J., Kern, H., Baumann, D., McFadden, T., & Gober, K. (1994). Preliminary Intake Report: Part I. WISDOM Project, Texas Department of Protective and Regulatory Services. Prepared for the Department of health and Human Services, Child Welfare Division, Washington, D.C.

Baumann, D., Kern, H., & Fluke, J. (1997). Worker Improvements to the Decision and Outcome Model (WISDOM): The Child Welfare Decision Enhancement Project. Prepared for the Department of Health and Human Services, Child Welfare Division, Washington, D.C.

Baumann, D., Kern, H. & Fluke, J.D. (1997). Foundations of the Decision Making Ecology and Overview. In Baumann, D. J., Kern, H. & Fluke, J. (Eds.). Worker Improvements to the Decision and Outcome Model (WISDOM): The Child Welfare Decision Enhancement Project. The Children's Bureau, Washington, D.C.

Baumann, D., Kern, H. McFadden, T. & Law, J.R. (1997). Individual and Organizational Factors in Burnout and Turnover: A Decision making Ecology Approach. In Baumann, D. J., Kern, H. & Fluke, J. (Eds.). Worker Improvements to the Decision and Outcome Model (WISDOM): The Child Welfare Decision Enhancement Project. The Children's Bureau, Washington, D.C.

Schultz, D.F., Law, J.R., Baumann, D., Kern, H. & Gober, K.. (1997). Caseworker Studies of Individual and Organizational Measures Related to Performance. In Baumann, D. J., Kern, H. & Fluke, J. (Eds.). Worker Improvements to the Decision and Outcome Model (WISDOM): The Child Welfare Decision Enhancement Project. The Children's Bureau, Washington, D.C.

Baumann, D., Beal, P., Schuman, T., Gober, K., Law, J.R., Kern, H. & Ohmart, R. (1997). Critical Incidents Affecting Caseworker Decision Making. In Baumann, D. J., Kern, H. & Fluke, J. (Eds.). Worker Improvements to the Decision and Outcome Model (WISDOM): The Child Welfare Decision Enhancement Project. The Children's Bureau, Washington, D.C.

Schwab, J., Baumann, D. & Gober, K. (1997). Patterns of Decision making. In Baumann, D. J., Kern, H. & Fluke, J. (Eds.). Worker Improvements to the Decision and Outcome Model (WISDOM): The Child Welfare Decision Enhancement Project. The Children's Bureau, Washington, D.C.

Baumann, D., Esterline, J. A., Zuniga, G., Smith, S., Whitherside, D., Fluke, J., Goertz, B. and Cohen, M. (1997). The Implementation of Risk Assessment. In Baumann, D. J., Kern, H. & Fluke, J. (Eds.). Worker Improvements to the Decision and Outcome Model (WISDOM): The Child Welfare Decision Enhancement Project. The Children's Bureau, Washington, D.C.

Law, J.R., Kern, H., Schultz, D.F., Gober, K.G., Schwab, J., & Baumann, D. (1997). Screening Models for Intake and Investigation. In Baumann, D., Kern, H. & Fluke, J. (Eds.). Worker Improvements to the Decision and Outcome Model (WISDOM): The Child Welfare Decision Enhancement Project. The Children's Bureau, Washington, D.C.

Law, J.R., Baumann, D., Gober, K.G., Schultz, D.F., Ohmart, R., & Kern, H. (1997). Phase III: Evaluating the Effectiveness of Risk Assessment. In Baumann, D. J., Kern, H. & Fluke, J. (Eds.). Worker Improvements to the Decision and Outcome Model (WISDOM): The Child Welfare Decision Enhancement Project. The Children's Bureau, Washington, D.C.

Gober, K.G., Graham, J.C. Baumann, D.J. & Kern, H. (1998). The Texas Child Fatality Study: A Comparison of Fatality and Non-Fatality Cases. Provided to the Texas Department of Protective and Regulatory Services.

Chiple, M.H., Sheets, J.H., Baumann, D.J., Robinson, D. & Graham, J.C. (1999). Flexible Response Evaluation. Provided to the Texas Department of Protective and Regulatory Services.

Graham, J.C. and Baumann, D.J. (1999). Expedited Permanency: Issues and Evaluation. Provided to the Texas Department of Protective and Regulatory Services.

Sheets, J., Caouette, K., & Baumann, D.J.(2000). Alert Pilot; Executive Overview. Provided to the Texas Department of Protective and Regulatory Services.

Sheets, J., Baumann, D.J., Farris, J., Robinson, D., Holoubeck, J., Dodson, D. (2001). High Risk Intervention: Stage 1, Implementation Evaluation. Presented to the Texas Department of Protective and Regulatory Services.

Baumann, D.J., Farris, J., Holoubeck, J., Robinson, D., & Sheets (in collaboration with Grigsby, W.C., Reid, G., & Graham, J.C.) (2002). Concept Guided Risk Assessment: Reliability and Construct Validity. Provided to the Texas Department of Protective and Regulatory Services.

Baumann, D.J., Law, J.R., Sheets, J., Reid, G., & Graham, J.C. (2002). Evaluating the Effectiveness of a Risk Assessment Model. Provided to the Texas Department of Protective and Regulatory Services.

Baumann, D. J., Sheets, J., and Wittenstrom, K., (2006). Family Group Decision-Making: Final Evaluation. Provided to the Texas Department of Family and Protective Services.

Baumann, D. J., Fluke, J. Graham, J. C., Wittenstrom, K., Hedderson, J., Riveau, S., Detlaff, A., Rycraft, J., Ortiz, M. J., James, J. Kromrei, L., Craig, S., Capouch, Sheets, J., Ward, D., Breidenbach, R., Hardaway, A., Boudreau, B., and Brown, N. (2010).Disproportionality in Child Protective Services: The Preliminary Results of Statewide Reform Efforts. Provided to the Texas Department of Family and Protective Services. March

Baumann (2010) Disproportionality in Child Protective Services: 2010 Update (2010). Provided to the Texas Department of Family and Protective Services. August

PROFESSIONAL PRESENTATIONS (presentations after 1995 available on request)

Baumann, D., Obitz, F., & Reich, J. (1979). Treatment Induced Reversals in Alcoholics Attribution Processes. Paper presented at the Annual Meeting of the Western Psychological Association, San Diego, California.

Baumann, D., Kenrick, D., & Cialdini, R. (1979). The Socialization of Altruism as a Self-Reinforcer. Paper presented at the Annual Meeting of the American Psychological Association, Toronto, Canada.

Baumann, D., Sandler, J., & Frost, R. (1981). The Use of Life Events as a Needs Assessment Instrument. Paper presented at the Arizona Association of Community Colleges, Casa Grand, Arizona.

Baumann, D., Sandler, I., & Braver, S. (1982). The Use of Life Events as a Method of Needs Assessment. Paper presented at the Annual Meeting of the American Psychological Association, Washington, D.C.

Baumann, D., Bettor, S.M., Curtis, S.M., Heller, L.S., Lamb, N.F., Ritter, B.E., Roberts, C.M., Wesselo, D.J.(1984). The Day After: An Experimental Investigation of Media Impact. Paper presented at the Annual Meeting of the American Psychological Association, Montreal, Canada.

Baumann, D., (1985). Invited address. The Challenge of Homelessness in Social Science Research. Paper presented at the Texas Health and Human Services Coordinating Council, State Advisory Committee on the Homeless, Public Forum on the Homeless, Austin, Texas.

Baumann, D., & Grigsby, C. (1985). Invited address. Applied Social Psychology: Seven Myths. Paper presented at the Annual Meeting of the Western Psychological Association, Ft. Worth, Texas.

Baumann, D., (1986). Moral Evaluations and the Law. Paper presented at the Annual Meeting of the Society for Experimental Psychologists, Tempe, Arizona.

Baumann, D., (1988). Who Are the Homeless. Paper presented at a conference entitled "Translating Health Care Research Into Practice." Austin, TX.

Baumann, D., (1989). Homelessness and Housing. Invited address. Paper presented to the Texas Senate, Special Subcommittee on Housing, Austin, Texas.

Baumann, D. (1991) Enumerating the Homeless. Invited address. Paper presented at the Urban Institute and U.S. Bureau of the Census Joint Conference on Methods of Enumerating the Homeless. Washington, D.C.

Baumann, D., & Kennerson, M., (1992). Outcome Measures in Child Welfare. Paper presented at the National Conference of Public Administrators in Child Welfare. Santa Fe, New Mexico.

Baumann, D. (1993). Optimization Models in Human Services. Paper presented at the Workload Analysis and Resource Management Workshop. The National Resource Center on Child Abuse and Neglect of the National Center on Child Abuse and Neglect. American Humane Association, Denver, Colorado.

Sheets, D., Kern, H., & Baumann, D. (1993). Texas WISDOM: A Three Year Research Project to Build Effective CPS Decision Making Instruments. Paper presented at the Seventh National Roundtable on Risk Assessment, San Francisco, California.

Fluke, J., & Baumann, D. (1995). Decision Making in Child Welfare. Paper presented at the 2nd Annual Family Preservation and Family Support Conference, San Francisco, California.

GRANTS AND RESEARCH SUPPORT:

Baumann, D. Behavioral Health Needs Assessment Study in the Center West Catchment Area of Maricopa County in the State of Arizona. Contract: 26-235-860-50-3-4-89-0841 between Community Behavioral Sciences and State of Arizona. June, 1976.

Baumann, D., & Hansen, D. Farmworker Energy Project. Funded by Campesinos Unidos, Inc. November, 1977. Amount awarded: \$21,900.

Baumann, D., & Hansen, D. Community Services Administration Flood Relief. Program funded by Community Services Administration. January, 1978. Amount awarded: \$70,000.

Baumann, D., & Hansen, D. Farmworker Weatherization Project. Funded by National Association of Farmworker Organizations. April, 1978. Amount awarded: \$14,000.

Hansen D. & Baumann, D. Farmworker Innovative Residential Skills Training. Funded by the Department of Labor, Office of Farmworkers Program. April, 1978. Amount awarded: \$800,000.

Baumann, D. Migrant Head Start Program. Funded by the Department of Health, Education, and Welfare. June, 1978. Amount awarded: \$137,000.

Baumann, D., & Hansen, D. DOL/FMHA RA Work Experience Program. Funded by the Department of Labor. July, 1978. Amount awarded: \$229,700.

Baumann, D., Eblen, C., & Hansen, D. Statewide, Process Consultation Oriented, Community Organization Program. Funded by Campaign for Human Development. July, 1979. Amount awarded: \$60,000.

Baumann, D. Life events as a method of needs assessment. Funded by University of Texas Research Institute. Summer Research Award. June, 1982. Amount awarded: \$4,222.

Baumann, D.J., Grigsby, C., Beauvais, C., & Schultz, D.F. The Austin Homeless. Funded by the Hogg Foundation for Mental Health. June, 1984. Amount awarded: \$21,000.

Baumann, D.J., Grigsby, C., Beauvais, C., & Schultz, D.F. The Development of a Model Interagency Program Serving the Austin Homeless. Funded by the City of Austin. November, 1985. Amount awarded: \$9,000.

Baumann, D.J., Grigsby, C., & Beauvais, C. The Development of a Model Interagency Program Serving the Austin Homeless. Funded by the City of Austin. February, 1986. Amount awarded: \$9,900.

Baumann, D. Criminalization of the Mentally Ill. Funded by the Policy Research Institute, University of Texas. June, 1987. Amount awarded: \$3,400.

Grigsby, C., Baumann, D.J., Roberts-Gray, C. Demonstration of Team Case Management to Provide Job Training Activities for the Homeless. Funded by the Department of Labor. October, 1988. Amount awarded: \$245,000.

Baumann, D.J., Grigsby, C.G., & Roberts-Gray, C. Homelessness in Houston, Harris County. Funded by the City of Houston, Harris County, the United Way of the Texas Gulf Coast and

McKinsey and Company, March, 1989. Amount awarded: \$90,000.

Kern, H., Baumann, D. J., & Fluke, J. The Child Welfare Decision Enhancement Project. Funded by the Department of Health and Human Services, Children's Bureau, October, 1993. Amount awarded for three years 390,000.

Kern, H., & Baumann, D. J., The Screening at Intake Project. Funded through the Child Abuse Prevention and Treatment Act, Department of Health and Human Services, Children's Bureau, October, 1994. Amount awarded for five years, approximately \$ 100, 000 per year.

Baumann, D. J., The Evaluation of Legislative Initiatives Project. Funded through the Child Abuse Prevention and Treatment Act, Department of Health and Human Services, Children's Bureau, October, 1999 - October 2011. Amount awarded approximately \$ 200, 000 per year.

Baumann, D. J. and Fluke, J. and Hedderson, J. Disproportionality. Funded by Casey Family Programs. January 2008. Amount awarded approximately \$ 350,000

Baumann, D. J. Disproportionality. Funded by the American Humane Association. January 2008. Amount awarded approximately \$ 150,000

REFERENCES:

Patricia Devin
Associate Commissioner
Texas HHSC
4900 N. Lamar
Austin, Texas 78751
(512) 424-6573

Dr. James Schwab
Professor
Department of Social Work
University of Texas
Austin, Texas 78712
(512) 471-9816

Dr. Marc Lewis
Associate Professor
Department of Psychology
University of Texas
Austin, Texas 78712
(512) 471-3393

Dr. Homer Kern
President
K & K Consulting
223 Indian Hill.
China Springs, Texas 76633
(254) 836-0325

Dr. Frank Schultz
Clinical Psychologist
P.O. Box 92236
Lakeland, FL 33804-2236
(863) 965-7078

Dr. John G. Ford
Professor (retired)
Dept. of Psychology
Trinity University
San Antonio, Texas
(210) 736-8323

Dr. Robert B. Cialdini
Professor

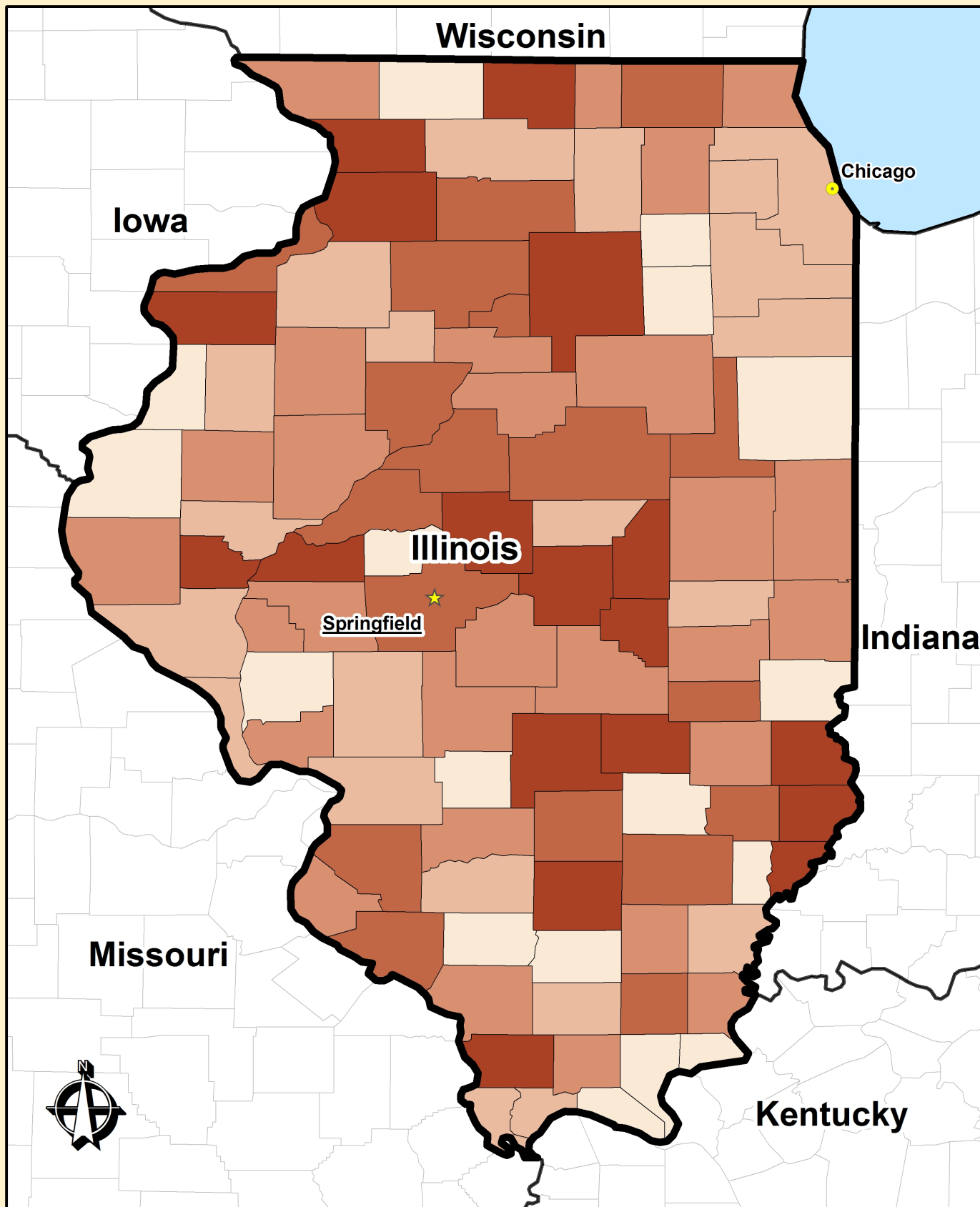
Dr. Ira Iscoe
Professor Emeritus

Department of Psychology
Arizona State University
Tempe, Arizona 85287
(602) 965-4971

Dept. of Psychology
University of Texas
Austin, Texas 78712
(512) 475-8490

Appendix B

Map of Illinois with Percent of Substantiated Maltreatment
by County for State Fiscal Year 2008



**Percent of Victims
by Reports**

- 10% - 19%
- 20% - 23%
- 24% - 27%
- 28% - 31%
- 32% - 40%

Child Abuse Victims Illinois

0 10 20 40 60 80 Miles

Data from Illinois DCFS Child Abuse
and Neglect Statistics Report 2008

Map is current as of 6 / 2011

Appendix C

Hours Worked for the Rebuttal Reports

Hours Worked for the Rebuttal Reports (Hess, Goad, Miller, Milner) Through June 7, 2011

John D Fluke	73.0 hours	billed at a rate of \$325/hour, contributes to regular salary
--------------	------------	---

Donald Baumann	13.5 hours	billed at a rate of \$200/hour, direct compensation @ \$175/hour
----------------	------------	--